

COMMITTEE REPORT ON ADOPTION OF POLICY RECOMMENDATION

DATE: September 24, 2009
TO: Jennifer Matos, Faculty President
FROM: Personnel Planning and Review Committee
BY: Penelope Jennings, Executive Secretary

Name of Proposed Policy: Statement of Professional Responsibility

At its meeting on September 9, 2009, the Personnel Planning and Review Committee adopted a policy recommendation by passing the following motion:

MSP: That Section 604 be approved as revised.

604 Professional Responsibility.

~~The following statement of professional responsibility was adopted by the Academic Senate, The California State University, January 14, 1971, and subsequently approved by the faculty of California State University, Northridge. This statement shall serve as a guide for the professional conduct of the members of the faculty of this University. The responsibilities of a faculty member may be considered from ~~five~~ four major perspectives: 1) as a member of ~~the teaching an academic~~ profession; 2) as a teacher; 3) as a colleague; 4) as a part of an academic institution; ~~5) as a member of a community.~~~~

604.1 As a member of an academic profession, the faculty member:

- ~~1.~~ ~~Seeks and states the truth as perceived~~
21. Devotes energies to developing and improving scholarly competence.
- ~~3-2.~~ Accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge.
- ~~4-3.~~ Practices, fosters, and defends intellectual honesty, freedom of inquiry and instruction, and free expression ~~on and off the campus.~~
- ~~5.~~ ~~Avoids allowing subsidiary interests to hamper or compromise freedom of inquiry.~~
4. Respects the ethical and legal principles and guidelines of his or her discipline.

604.2 As a teacher, the faculty member:

1. Encourages the free pursuit of ~~learning in~~ students' learning and promotes the free and open exchange of ideas as related to the subject matter.
2. ~~Holds before students the discipline's best scholarly standards. Exhibits and upholds the highest scholarly and ethical standards of his or her discipline; fosters honest academic conduct; and does not instruct, advise, or supervise students with whom he or she has personal or professional conflicts of interest.~~
3. ~~Demonstrates respect for the student as an individual.~~
- 4.3. ~~Adheres to a proper role~~ Serves as an intellectual guide and ~~counselor~~ mentor.
5. 4. Does not participate in the formal evaluation of any student or in any institutional decisions involving a direct benefit to a student who is a member of his or her immediate family, a blood relative, or with whom he or she has an economic, sexual, and/or romantic involvement which could reasonably be perceived as impairing objectivity.
6. ~~Makes every reasonable effort to foster honest academic conduct.~~
7. 5. ~~Makes every reasonable efforts to assure that evaluations of students reflect their true merit and are based on their academic performance, professionally judged and not on matters irrelevant to that performance, such as personality, degree of political activism, personal beliefs, race, religion, color, disability, sex, sexual orientation, national origin, ancestry, or age.~~
8. 6. Treats students with civility, understanding, and respect and does not denigrate, humiliate, or stigmatize students on the basis of race, religion, color, disability, gender, sexual orientation, national origin, ancestry, or age.
9. 7. ~~Makes every reasonable efforts to assure that all students are treated~~ treat each other with civility, understanding, and respect ~~whenever the professor has responsibility for students and is acting in a professorial, professional, and/or mentoring role and that students~~ and do not denigrate, humiliate, or stigmatize ~~other students~~ each other on the basis of race, religion, color, disability, gender, sexual orientation, national origin, ancestry, or age.
10. 8. Respects the confidential nature of the relationship between ~~professor~~ faculty member and student except when obligated to disclose information based on University policy or law.

11. 9. Does not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course.
12. 10. ~~Refrains from forcing~~ Does not force students, by the authority inherent in the instructional role, to make particular political or personal choices as to political action or their own part in society.
13. 11. Does not persistently ~~intrude~~ introduce material which has no relation to a subject into the presentation of that subject; ~~material which has no relation to that subject.~~
14. 12. ~~Presents the subject matter of a course as announced to students and as approved by the faculty in their collective responsibility for the curriculum.~~ Adheres to published descriptions of course content and grading practices, such as those contained in syllabi, course outlines, and course catalogs.
15. 13. Allows students the freedom to take reasoned exception to the data or views offered in a course of study. ~~and to reserve judgment about matters of opinion.~~
16. 14. ~~Avoids an exploitation of~~ Does not exploit students for private advantage.
15. Acknowledges significant academic or scholarly collaboration with, or assistance from, his or her students.

604.3 As a colleague, the faculty member:

1. Respects and defends the free inquiry of ~~associates~~ colleagues.
2. Shows due respect for the opinions of others in exchanges of criticism and ideas.
3. Acknowledges ~~academic debts~~ the contributions of others to his or her academic work.
4. Strives to be objective when engaged in the professional judgment of colleagues.
5. Does not participate in personnel evaluations, such as appointment, retention, tenure, or promotion, of a member of his or her immediate family, a blood relative, or a person with whom he or she has an economic, sexual and/or romantic involvement that could reasonably be

perceived as impairing objectivity.

6. Does not participate in decisions, such as awarding of grants, sabbaticals, or other awards that involve a direct economic benefit to himself or herself, a member of his or her immediate family, a blood relative, or a person with whom he or she has an economic, sexual and/or romantic involvement that could reasonably be perceived as impairing objectivity.
7. Does not engage in exploitative, harassing, or discriminatory behavior.

604.4 As a member of an academic institution, the faculty member:

1. Seeks above all to be an effective teacher and scholar.
2. Observes the stated regulations of the institution provided they do not contravene academic freedom.
3. Maintains the right to criticize regulations and seek their revision.
4. ~~Determines the amount and character of the work that can be done outside the institution while fulfilling primary responsibilities within it.~~ Recognizes that outside employment shall not conflict with normal work assignments or satisfactory performance of all duties.
5. ~~Recognizes,~~ When considering the interruption or termination of his or her services, recognizes the effect of such a decision upon the program of the institution; and gives due notice of intentions.
6. ~~Requests a leave of absence or resigns an academic position when acute conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of students, colleagues, and institution, on the other, preclude the fulfillment of substantial academic obligations.~~
7. ~~Refrains from calling attention to grievances in ways that significantly impede the functions of the institution.~~
- 8 6. Accepts a share of faculty responsibilities for the governance of the institution.
7. Helps ensure that the University meets its commitment to maintain an environment that promotes diversity and that is free from discrimination and harassment.

604.5 As a member of a community, the professor:

- ~~1. Measures the urgency of any obligations as a citizen in light of responsibilities to subject, students, profession, and institution.~~
- ~~2. 8. Makes every effort, when speaking and acting as a citizen, to be accurate, to exercise appropriate restraint, to show respect for the opinions of others, and to indicate that these words and actions do not represent the University. to publicly distinguish between speaking or acting as a private citizen and speaking or acting as a representative of the University.~~
- ~~3. Promotes conditions of free inquiry.~~
- ~~4. Furthers public understanding of academic freedom.~~

Current Policy or Catalog Copy: See pages 7 to 10 of the current Section 600 of the *Administrative Manual*.

Proposed Policy or Catalog Copy:

604 Professional Responsibility.

This statement shall serve as a guide for the professional conduct of the members of the faculty of this University. The responsibilities of a faculty member may be considered from four major perspectives: 1) as a member of an academic profession; 2) as a teacher; 3) as a colleague; 4) as a part of an academic institution.

604.1 As a member of an academic profession, the faculty member:

1. Devotes energies to developing and improving scholarly competence.
2. Accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge.
3. Practices, fosters, and defends intellectual honesty, freedom of inquiry and instruction, and free expression.
4. Respects the ethical and legal principles and guidelines of his or her discipline.

604.2 As a teacher, the faculty member:

1. Encourages the free pursuit of students' learning and promotes the free and open exchange of ideas as related to the subject matter.
2. Exhibits and upholds the highest scholarly and ethical standards of his or her discipline; fosters honest academic conduct; and does not instruct,

advise, or supervise students with whom he or she has personal or professional conflicts of interest.

3. Serves as an intellectual guide and mentor.
4. Does not participate in the formal evaluation of any student or in any institutional decisions involving a direct benefit to a student who is a member of his or her immediate family, a blood relative, or with whom he or she has an economic, sexual, and/or romantic involvement which could reasonably be perceived as impairing objectivity.
5. Makes reasonable efforts to assure that evaluations of students are based on academic performance.
6. Treats students with civility, understanding, and respect and does not denigrate, humiliate, or stigmatize students on the basis of race, religion, color, disability, gender, sexual orientation, national origin, ancestry, or age.
7. Makes reasonable efforts to assure that students treat each other with civility, understanding, and respect and do not denigrate, humiliate, or stigmatize each other on the basis of race, religion, color, disability, gender, sexual orientation, national origin, ancestry, or age.
8. Respects the confidential nature of the relationship between faculty member and student except when obligated to disclose information based on University policy or law.
9. Does not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course.
10. Does not force students, by the authority inherent in the instructional role, to make particular political or personal choices.
11. Does not persistently introduce material which has no relation to a subject into the presentation of that subject.
12. Adheres to published descriptions of course content and grading practices, such as those contained in syllabi, course outlines, and course catalogs.
13. Allows students the freedom to take reasoned exception to the data or views offered in a course of study.
14. Does not exploit students for private advantage.

15. Acknowledges significant academic or scholarly collaboration with, or assistance from, his or her students.

604.3 As a colleague, the faculty member:

1. Respects and defends the free inquiry of colleagues.
2. Shows due respect for the opinions of others in exchanges of criticism and ideas.
3. Acknowledges the contributions of others to his or her academic work.
4. Strives to be objective when engaged in the professional judgment of colleagues.
5. Does not participate in personnel evaluations, such as appointment, retention, tenure, or promotion, of a member of his or her immediate family, a blood relative, or a person with whom he or she has an economic, sexual and/or romantic involvement that could reasonably be perceived as impairing objectivity.
6. Does not participate in decisions, such as awarding of grants, sabbaticals, or other awards that involve a direct economic benefit to himself or herself, a member of his or her immediate family, a blood relative, or a person with whom he or she has an economic, sexual and/or romantic involvement that could reasonably be perceived as impairing objectivity.
7. Does not engage in exploitative, harassing, or discriminatory behavior.

604.4 As a member of an academic institution, the faculty member:

1. Seeks above all to be an effective teacher and scholar.
2. Observes the stated regulations of the institution provided they do not contravene academic freedom.
3. Maintains the right to criticize regulations and seek their revision.
4. Recognizes that outside employment shall not conflict with normal work assignments or satisfactory performance of all duties.
5. When considering the interruption or termination of his or her services, recognizes the effect of such a decision upon the program of the institution, and gives due notice of intentions.

6. Accepts a share of faculty responsibilities for the governance of the institution.
7. Helps ensure that the University meets its commitment to maintain an environment that promotes diversity and that is free from discrimination and harassment.
8. Makes every effort to publicly distinguish between speaking or acting as a private citizen and speaking or acting as a representative of the University.

Procedures: A joint subcommittee of the Executive Committee of the Faculty Senate and the PP&R Committee was formed during the 2007-2008 academic year to review and revise Section 604. The members from the Executive Committee were Charles Macune, Beth Phillips, and Steven Stepanek and the members from PP&R were David Aks and Karen Anderson. At the end of the year, the subcommittee determined that changes and revisions were necessary and concluded that PP&R should continue reviewing Section 604 and bring forward proposed changes. During the 2008-2009 academic year, a subcommittee comprised of David Aks, Karen Anderson, and Judith Marti reviewed the procedures and presented proposed changes to PP&R over several meetings. Each proposed change was reviewed and voted upon by PP&R. During the Summer of 2009, the proposed changes were reviewed by the Executive Committee of the Faculty Senate (SEC). After review of the SEC recommendations, on September 9, 2009, PP&R approved the proposed changes submitted in this Report.

Summary of Supporting Reasons:

Introduction

The Section 604 statement of professional responsibility is relied upon by faculty for guidance on their responsibilities as teachers, colleagues, and members of the profession and the institution. It is also to be considered in evaluating faculty in the area of “Professional and Personal Responsibilities” for tenure and promotion in rank. As is stated in Section 632.6.1., “For appointment or promotion to any rank above that of Instructor/Assistant Librarian/ Student Services Professional-Academically Related I, the faculty member should show definite promise of being a valuable addition to the University in terms of discharge of personal and professional responsibilities as outlined in Section 604.”

The original version of Section 604 was based on a statement of professional responsibility adopted by the Academic Senate of the California State University on January 14, 1971. While much of the original statement continues to be the basis for how faculty view their professional responsibilities, after 38 years, there have been shifts in the focus on or the language used to articulate these important responsibilities. The rationale for the proposed changes is to bring clarity to the statements of professional responsibility, make explicit what was implicit in the

original statements, delete redundant or superfluous sections, and to add statements important to faculty in performing their professional responsibilities. The PP&R Committee was also concerned that some of the current sections tread close to the line of limiting academic and personal freedoms. PP&R believes that by providing a clear statement of responsibilities two goals will be achieved: (1) Faculty will have a better understanding of what is expected of them as members of the University and (2) the clear set of responsibilities will result in a University environment that holds faculty to high standards of conduct, promotes an open exchange of ideas, protects freedom of expression while at the same time respecting a diversity of viewpoints, is free from exploitation and discrimination, and acknowledges all collaborative efforts in scholarly endeavors.

The following outlines the PP&R Committee's rationale and justification for specific changes in Section 604.

Section 604.1 Responsibilities as a Member of an Academic Profession

Section 604.1.1. ("Seeks and states the truth as perceived") was deleted because it is vague and it is unclear as to by whom "the truth is perceived."

Section 604.1.3. (Formerly 604.1.4.) deletes the reference to "on or off the campus" as redundant.

The former Section 604.1.5. related to not allowing subsidiary interests to hamper or compromise freedom of inquiry is covered elsewhere in Section 604.

The new Section 604.1.4. ("Respects the ethical and legal considerations that underlie his or her work and output, as consistent with the ethical principles and guidelines of his or her discipline") has been identified by departments as important and has been written into a number of department personnel procedures.

Section 604.2 Responsibilities as a Teacher

Section 604.2.1. clarifies the language.

Section 604.2.2. clarifies the Committee's understanding of the standard of holding "before students the discipline's best scholarly standards."

The former Section 604.2.3. ("Demonstrates respect for the student as an individual") is covered and clarified in other sections.

The Committee feels that the former Section 604.2.4. (“Adheres to a proper role as an intellectual guide and counselor”), may be misleading or unclear to faculty. Faculty are not expected to serve in “counselor roles.” Rather, they serve as mentors.

The former Section 604.2.6. is now covered in Section 604.2.2.

The former Section 604.2.7., now Section 604.2.5., clarifies and more succinctly states the obligation of faculty in evaluating student performance.

The former Section 604.2.9., now Section 604.2.7., clarifies and more directly states the responsibility of faculty in situations where students behave toward each other in an uncivil or disrespectful manner.

The former Section 604.2.10., now Section 604.2.8., clarifies that in some situations, faculty are legally mandated to disclose information provided to them by students “in confidence.” Examples include allegations of discrimination, sexual harassment or allegations of actual or threatened harm to persons on campus or to University property.

The former Sections 604.2.10., 604.2.12., and 604.2.16. (now Sections 604.2.8., 604.2.10., and 604.2.14.) were changed to provide greater clarity and to be more direct about not forcing students to make particular political or personal choices, not introducing material which has no relation to the subject matter, and not exploiting students for private advantage.

The former Section 604.2.14., now Section 604.2.12., was revised to provide clarity about what is meant by the requirement that faculty present “the subject matter of a course as announced to students and as approved by the faculty in their collective responsibility for the curriculum.” The PP&R Committee believes that the new language, which focuses on adhering to published descriptions of course content or grading practices such as in the course syllabi and the University catalog, provides greater clarity.

The Committee concluded that the phrase “and to reserve judgment about matters of opinion” was redundant and unnecessary for Section 604.2.13.

Concerns have been raised by students in higher education in recent years about faculty “taking credit” for their student work. The new Section 604.2.15. addresses this matter.

Section 604.3 Responsibilities as a Colleague

Section 604.3.1. was revised to use the term “colleagues” instead of “associates” to be consistent with the title of the section.

Section 604.3.3. was revised to clarify that “academic debts” refers to “the contributions of others to his or her academic work.”

Section 604.3.4. was revised to clarify that objectivity is required when engaged in review of colleagues.

Section 604.3.7. was added to emphasize that faculty should not engage in exploitive, harassing, or discriminatory behavior toward each other as well as refraining from engaging in such behavior toward students.

Section 604.2.4 Responsibilities as a Member of an Academic Institution

Section 604.4.4. was revised to be more consistent with the language in the Faculty Contract.

Section 604.4.4.5. was revised to provide greater clarity.

Section 604.4.6. was deleted because the PP&R Committee considered it unnecessary and difficult to enforce.

Section 604.4.7. was deleted out of concern that it could interfere with academic freedom and faculty rights under the Faculty Contract.

A new Section 604.4.7. was added to be consistent with other provisions in Section 604 and to emphasize the University’s commitment to maintaining an environment that promotes diversity and is free from discrimination and harassment.

PP&R concluded that provisions in the former Section 604.5 (Member of the Community) were redundant except for the former Section 604.5.2. That Section, as revised, is now Section 604.4.8. and clarifies the difference in responsibility when one is speaking on behalf of the University as compared to speaking as a private citizen.

This report is respectfully submitted to the Executive Committee of the Faculty Senate for consideration.