

**Attachment A**  
**Faculty Senate Meeting**  
**March 1, 2012**

AAUP Statements Proposed to Serve as Guiding Principles for FPC-APC Development of  
Faculty and Students Rights and Responsibilities Policies

**BACKGROUND:** In fall 2011, FPC recommended policy on Faculty Responsibilities to Students in the Instructional Environment. A number of Senators requested a clearer layout of the documents from which the policy was drawn before debating the policy. Additionally, the Senate referred the policy back jointly to FPC and APC, and requested that Faculty and Students Rights and Responsibilities policies be brought forward concurrently.

As previously reported to Senate, FPC-APC are pursuing a “package” of (a) Guiding Principles, intended to guide FPC-APC’s work on revisiting Faculty and Student Rights and Responsibilities policies, and (b) those policies. FPC proposed four AAUP statements to serve as the Guiding Principles for this work, and APC endorsed the proposal at its meeting on 2-3-12. At this point we are not proposing that these statements serve as policy. Rather, we seek Senate endorsement for these statements to serve as Guiding Principles for continued discussion and policy development. (We may revisit these again and propose edited versions to serve as part of our policy recommendations, but for now we just want them to serve as general Guiding Principles to serve as a framework.)

**RECOMMENDATION:** FPC-APC recommends that Faculty Senate endorse four AAUP statements to serve as the Guiding Principles that will frame our work on the package of policies on Faculty Responsibilities and Students Rights and Responsibilities.

- a. **2009 AAUP Statement on Professional Ethics**  
<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>
- b. **1940 AAUP Statement of Principles of Academic Freedom and Tenure (with interpretations from 1970)**
  - Proposal to utilize only the portion on Academic Freedom.  
<http://www.aaup.org/AAUP/pubsres/policydocs/contents/1940statement.htm>
- c. **A Statement of the AAUP Association’s Council: Freedom and Responsibility (2006)**  
*AAUP Policy Documents & Reports* (10<sup>th</sup> Ed.). (2006). Washington, DC: American Association of University Professors. pp. 173-174.
- d. **AAUP Joint Statement on Rights and Freedoms of Students (1967, with interpretations from 1990, 1991, and 1992)**
  - [joint sponsors: American Association of University Professors, the United States National Student Association (now the United States Student Association), the Association of American Colleges (now the Association of American Colleges and Universities), the National Association of Student Personnel Administrators, and the National Association of Women Deans and Counselors]
  - The entire document includes additional sections that have no bearing on the policy referred back to FPC on Faculty Responsibilities to Students in the Instructional Environment, therefore FPC is proposing to utilize only the Preamble and the section on “In the Classroom.” The full document can be found at  
<http://www.aaup.org/AAUP/pubsres/policydocs/contents/stud-rights.htm>.]

a. **2009 American Association of University Professors Statement on Professional Ethics**

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
  2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
  3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
  4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
  5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.
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**b. 1940 AAUP Statement of Principles of Academic Freedom and Tenure**

ACADEMIC FREEDOM

a. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

b. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.[2] Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.[3]

c. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations.

As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.[4]

AAUP 1970 Interpretation of statement

NOTES:

[2] The intent of this statement is not to discourage what is "controversial." Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The passage serves to underscore the need for teachers to avoid persistently intruding material which has no relation to their subject.

[4] ... "The controlling principle is that a faculty member's expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member's unfitness for his or her position. Extramural utterances rarely bear upon the faculty member's fitness for the position. Moreover, a final decision should take into account the faculty member's entire record as a teacher and scholar."

Paragraph 5 of the *Statement on Professional Ethics* also deals with the nature of the "special obligations" of the teacher. The paragraph reads as follows:

As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of other obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

c. **A Statement of the AAUP Association's Council: Freedom and Responsibility(2006)**

Membership in the academic community imposes on students, faculty members, administrators, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways that injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence, but also be given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may 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. Students should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or their own social behavior. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism, or personal beliefs.

It is the mastery teachers have of their subjects and their own scholarship that entitles them to their classrooms and to freedom in the presentation of their subjects. Thus, it is improper for an instructor persistently to intrude material that has no relation to the subject, or to fail to present the subject matter of the course as announced to the students and as approved by the faculty in their collective responsibility for the curriculum.

Because academic freedom has traditionally included the instructor's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute, and attention to obligations as a citizen and moral agent precludes an instructor from fulfilling substantial academic obligations, the instructor cannot escape the responsibility of that choice, but should either request a leave of absence or resign his or her academic position.

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d. **AAUP Joint Statement on Rights and Freedoms of Students (1967, with interpretations from 1990, 1991, and 1992)**

**Preamble**

Academic institutions exist for the transmission of knowledge, the pursuit of truth, the development of students, and the general well-being of society. Free inquiry and free expression are indispensable to the attainment of these goals. As members of the academic community, students should be encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth. Institutional procedures for achieving these purposes may vary from campus to campus, but the minimal standards of academic freedom of students outlined below are essential to any community of scholars.

Freedom to teach and freedom to learn are inseparable facets of academic freedom. The freedom to learn depends upon appropriate opportunities and conditions in the classroom, on the campus, and in the larger community.(1) Students should exercise their freedom with responsibility.

The responsibility to secure and to respect general conditions conducive to the freedom to learn is shared by all members of the academic community. Each college and university has a duty to develop policies and procedures that provide and safeguard this freedom. Such policies and procedures should be developed at each institution within the framework of general standards and with the broadest possible participation of the members of the academic community. The purpose of this statement is to enumerate the essential provisions for students' freedom to learn...

**In the Classroom**

The professor in the classroom and in conference should encourage free discussion, inquiry, and expression. Student performance should be evaluated solely on an academic basis, not on opinions or conduct in matters unrelated to academic standards.

**1. Protection of Freedom of Expression.**

Students should be free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled.

**2. Protection against Improper Academic Evaluation.**

Students should have protection through orderly procedures against prejudiced or capricious academic evaluation.(4) At the same time, they are responsible for maintaining standards of academic performance established for each course in which they are enrolled.

**3. Protection against Improper Disclosure.**

Information about student views, beliefs, and political associations that professors acquire in the course of their work as instructors, advisers, and counselors should be considered confidential. Protection against improper disclosure is a serious professional obligation. Judgments of ability and character may be provided under appropriate circumstances, normally with the knowledge and consent of the student.

NOTES: (1) In order to protect the freedom of students to learn, as well as enhance their participation in the life of the academic community, students should be free from exploitation or harassment.

(4) The student grievance procedures typically used in these matters are not appropriate for addressing charges of academic dishonesty or other disciplinary matters arising in the classroom. In these instances, students should be afforded the safeguards of orderly procedures consistent with those set forth in "Procedural Standards in Disciplinary Proceedings." (In 1997, AAUP's Committee A on Academic Freedom and Tenure approved a statement on "The Assignment of Course Grades and Student Appeals," AAUP, *Policy Documents and Reports*, 10th ed. [Washington, D.C., 2006], 127–28.)