

MEMORANDUM

To..... SENATE
..... PROPOSAL FOR ESTABLISHMENT OF AN AD
HOC SENATE COMMITTEE TO CONSIDER
Subject..... FACULTY ETHICS AND RESPONSIBILITIES

From.....
.....
Date..... SEPTEMBER 25, 1981

MOTION:

That Senate approve, as set forth in S.81-125, the the establishment of an ad hoc Committee to Consider Faculty Ethics and Responsibilities with composition as follows:

- Chairman - elected at large from Senate
- Three faculty Senator members
- One student Senator member
- One lay Senator member

The charge to the Committee is to review the need for a University policy on faculty ethics and responsibilities to consider previous efforts at developing policies in this area and relevant policies and procedures in effect at other Canadian universities, and to bring forward a recommendation to Senate by December 31, 1981.

SIMON FRASER UNIVERSITY

MEMORANDUM

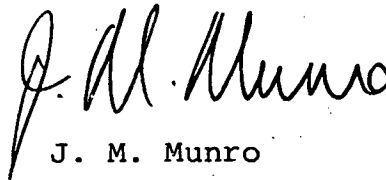
To..... Senate Committee on
..... Agenda & Rules
PROPOSAL FOR ESTABLISHMENT OF AN AD
Subject...HOC SENATE COMMITTEE TO CONSIDER.....
FACULTY ETHICS AND RESPONSIBILITIES

From..... J. M. Munro.....
..... Vice-President, Academic.....
Date..... August 7, 1981.....

In my role as Chairman of the ad hoc Senate Committee to consider student academic discipline and conduct, I recommend that Senate establish an ad hoc Committee to consider the development of policies related to faculty ethics and responsibilities. This was one of the recommendations of SADC and is the only part of the recommendations of that Committee that have not gone forward for implementation.

In making this recommendation, I should draw the Committee's attention to the fact that the Executive of the Faculty Association is uneasy over the proposal that Senate should involve itself in this matter and has instead suggested that the adoption of the CAUT code of faculty ethics by the Faculty Association as advise to its members should be sufficient. A copy attached for information.

I recommend that the Committee to Consider Faculty Ethics and Responsibilities should have the following composition: Chairman - elected at large from Senate, three faculty Senator members, one student Senator member, one lay Senator member. The charge to the Committee would be to review the need for a University policy on faculty ethics and responsibilities to consider previous efforts at developing policies in this area and relevant policies and procedures in effect at other Canadian universities, and to bring forward a recommendation to Senate by December 31, 1981.


J. M. Munro

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cc: L. Berggren, Pres., SFUFA

2. It is unethical for them to accept an appointment to an administrative position (e.g. department chairman, dean, president) unless those are satisfied that proper consultative procedures, such as those recommended by the Duff-Berdahl report and other relevant C.A.U.T. documents, have been employed in filling the post.
3. They have a responsibility to abide by the rules and regulations established for the orderly conduct of the affairs of the university. Provided that these rules and regulations do not infringe the academic freedom of faculty and students or the principles of ethical conduct as set forth in these Guidelines or in codes established by recognized professional or academic societies. At the same time, they have responsibility to seek reforms which would, in their judgment, improve the university.
4. It is unethical to fail to give proper notice of resignation of a faculty appointment, in accordance with the appropriate university regulations, or to accept another position involving conflicting obligations for a period covered under the terms of an existing appointment.
5. Staff members should avoid the following potential conflicts of interest unless, after full consultation, they have the approval of the university officer to whom they are responsible:
 - (a) authorize the purchase by the university of equipment, supplies or services from a source in which they or their family has a substantial interest;
 - (b) hire any member of their immediate family as an employee or consultant for any project supported by funds administered through the university;
 - (c) be associated with the management of any undertaking which hires or proposes to hire university personnel.

VI. University Teachers and the Community at Large

1. In their statements outside of the university, they retain the responsibility of seeking the truth and of stating it as they see it. However, they should make clear that except when specifically authorized to do so, they are acting in their own name and not in the name of the university.
2. Secondary income. The time involved in any consulting or related work and the nature of such work, involving payment to the professor by any person or organization other than the university must be disclosed to the appropriate university authorities if so requested by the university.²
3. When they enter into a special relationship with some sector of the community at large, as when they are engaged as a consultant or when they conduct research under contract, they have a responsibility to ensure that these duties are consistent with their primary obligation to the university and in no way deleteriously affect their duties within the university.

²C.A.U.T. commends to the attention of Canadian universities "The Policy Statement for the Staff on Supplementary Income and Related Activities" of the University of Toronto, *University of Toronto Bulletin*, 19 July 1972, with the proviso that the membership of any appeal body should be mutually agreed upon by the President and by the Faculty Association. Copies may be secured from the C.A.U.T. office.

Appendix

Suggested norms for university policy on research and publication.

1. Since the dissemination of knowledge is one of the primary purposes of the university, all research conducted under the auspices of the university should be such that its results are freely publishable. In the case of sponsored (contract) research, the C.A.U.T. suggests that the following qualifications may be appropriate:
 - (a) In cases where a sponsor may have industrial or commercial rights arising from a research project, the university will accept restrictions on publication of research results for a period not to exceed two years from the date on which the report of the research is transmitted to the sponsor.
 - (b) In cases where a sponsor wishes to be given the opportunity of publishing the results of research independently of their publication by the university and prior to it, such rights may be given provided that:
 - (1) the university in any event is free to publish the results within two years of the final report having been submitted to the sponsor;
 - (2) the university's name not be used in connection with the publication by the sponsor or any report that differs substantially from that originally prepared, without the written consent of the university;
 - (3) there be no delay in the presentation of a thesis by a graduate student as a result of the restriction stated in (1) above.
 - (c) In cases where, by the terms of a contract or grant, the sponsor agrees to provide data essential for the research which at the time they are provided are considered *confidential*, and where the appropriate academic administrator judges the research to be of sufficient importance to warrant a partial waiver of the general norms respecting free publication, the university should be prepared to accept the grant or contract for research and to respect confidentiality providing the results of the research may be published without any identifiable reference to the confidential data.
2. As part of its responsibility in matters of research, each university should undertake:
 - (a) to publish and circulate annually the titles of all research projects conducted under university auspices, with the names of the sponsoring agencies and
 - (b) to develop guidelines with respect to the amount of time university teachers may devote to remunerated consultation or research for outside agencies.

Council Resolution (November 1970)

Revised May 1973.

GUIDELINES CONCERNING PROFESSIONAL ETHICS AND PROFESSIONAL RELATIONSHIPS

I. Preamble

The statement which follows is intended as a set of guidelines on professional ethics for university teachers. It is intended to give direction to faculty members at individual universities where guidelines on professional ethics may be enacted, together with appropriate grievance procedures for dealing with problems which may arise from infractions of these guidelines. C.A.U.T. does not certify individuals as members of the profession, nor can it exclude them; neither has it the power to grant employment or to withhold it. Therefore, implementation of any code on professional ethics must lie with individual colleges and universities.

II. University Teachers as Teachers

1. The first responsibility of university teachers is the pursuit and dissemination of knowledge and understanding through teaching and research. They must devote their energies conscientiously to develop their scholarly competence and their effectiveness as a teacher.
2. They must be conscientious in the preparation and organization of their subject matter and should revise this periodically in light of developments in their field.
3. They must conscientiously strive to improve their methods of presentation of their subject to their students.
4. They must encourage the free exchange of ideas between themselves and their students.
5. They must always be fair to their students. It is unethical for them to exploit students for their private advantage.
6. They are guilty of unethical conduct if they act so as to prevent the fulfillment of these responsibilities by themselves or by other members of the academic community.
7. They must keep in confidence all information gained about students whether concerning their academic progress, their personal life or their political and religious views. Nevertheless, teachers may reveal information about the academic standing of students in response to a request from a reputable source;¹ they may refer to the student's character only in so far as this is relevant. When acting as a referee, they must strive to be fair and objective.

¹In the special circumstances where university teachers are asked for information as part of a security clearance, they should be guided by the policy of C.A.U.T. relating to such circumstances (supra p. 83).
The C.A.U.T. (a) advises its members that they are not compelled to reply to questions of the R.C.M.P. respecting the political or religious beliefs, activities and associations of colleagues and students.

(b) urges its members not to reply orally to such questions;

(c) urges further that, if any member considers that a reply should be made, it should be given in writing, signed by the member, and dated.

III. University Teachers as Scholars

1. All scholarly activity conducted within the university must have as its primary objectives:
 - (i) the increase of knowledge and understanding;
 - (ii) the improvement of the scholarly competence of the teacher, and;
 - (iii) in so far as possible, the initiation of students into the academic disciplines.
- In view of the first objective, it is essential that university teachers be free to disseminate the results of their research through publication, lectures and other appropriate means.
2. It is unethical for them to enter into any agreement that infringes their freedom to publish the results of research conducted within the university precincts or under university auspices. Notwithstanding this, they may agree to delay, for a specified period of time, publication of the results of sponsored or contract research, provided that this condition is agreed to by their university. (See Appendix.)

IV. University Teachers as Colleagues

1. They have the obligation to defend the right of their colleagues to academic freedom. It is unethical for them to act so as deliberately to infringe that freedom.
2. They should refrain from denigration of the character and competence of colleagues. Unsolicited professional judgments on the work of colleagues must only be presented in an appropriate forum.
3. When presenting a professional judgment on a colleague at the request of an appropriate university committee or authority (e.g. a committee dealing with appointments, tenure, dismissal or research grants) they have the obligation both to the colleague and to the university to be fair and objective.
4. It is unethical to fail to respect the confidentiality of information about a colleague gained during participation in the work of committees such as those described in Section IV, 3.
5. They have the responsibility to acknowledge in their scholarly lectures and publications academic debts to colleagues and students.
6. It is unethical for them to exploit the unpaid work of colleagues for personal gain.

V. University Teachers and their University

1. In accepting a university appointment, they assume obligations to the university in addition to primary duties as teacher and scholar. They have the responsibility to participate in the life of the university, in its governance and administration, through membership on committees and organizations at board, senate, faculty and department levels, provided that this participation is consistent with the discharge of their primary responsibilities and with their own abilities.