

**SANTA CLARA UNIVERSITY  
FACULTY HANDBOOK  
SECTION 3.6**

### 3.6 Faculty Rights and Responsibilities

#### 3.6.1 Academic Freedom

All faculty are entitled to the exercise of academic freedom.

The University's policy on academic freedom is that of the 1940 Statement on Academic Freedom and Tenure with 1970 Interpretive Comments, adopted by the American Association of University Professors and the Association of American Colleges, with no limitations imposed by the specific aims of the University. The statement, as revised by the two associations in 1989 and 1990 to delete gender-specific references, is given in Appendix B of this Handbook.

#### 3.6.2 General Faculty Responsibilities

Members of the academic profession have responsibilities in the intellectual development of their students, in the advancement of knowledge in their disciplines, and in the improvement of society. As faculty at this University, they also have an obligation to support its general well-being, to advance its mission as expressed in 1.3.2, and to work toward the fulfillment of its stated goals. Although their duties are to some extent prescribed by the institution, they have considerable independence in ordering their work toward the fulfillment of their responsibilities.

General responsibilities of faculty at Santa Clara University fall into four major categories:

1. All faculty members are expected to accord the University their professional loyalty and arrange outside activities and obligations in a way that will not interfere with this overriding professional commitment.

The acceptance of a full-time faculty appointment requires a commitment that is full-time in the most inclusive sense during the period of service specified in the Letter of Appointment. A part-time appointment requires a commitment commensurate with the responsibilities specified in the Letter of Appointment.

2. All faculty members are expected to demonstrate competence in carrying out their core responsibilities.

For Regular Faculty as defined in 3.1.1, these core responsibilities are teaching, scholarly or creative work, and service to the University, the profession, and the community. Regular faculty must demonstrate superior, not merely competent, performance in these criteria to be promoted to Associate Professor or full Professor.

For Other Faculty as defined in 3.1.3, whether full-time or part-time, core responsibilities are outlined in writing by the dean or Provost.

3. All faculty members are expected to exhibit ethical behavior consistent with established norms of the academic profession.

As members of the academic profession, who have responsibility for the advancement of knowledge and the intellectual formation of others, and who have uncommon visibility as role models and spokespersons, faculty must adhere to especially rigorous standards of intellectual honesty, judgment, fairness, and restraint in the practice of their disciplines and in their dealings with students, colleagues, and the community.

The statement on professional ethics adopted by the American Association of University Professors in 1966 and revised in 1987 provides an excellent summary of the major general obligations incumbent on faculty in virtue of their position. It appears in Appendix D.

4. All faculty members are expected to adhere to official policies and procedures as outlined in the Faculty Handbook and as may be promulgated from time to time by officers of the University acting within the scope of their authority.

*Revised by vote of the Faculty Senate in Fall 2002 and the Board of Trustees on February 14, 2003.*

### 3.6.3 Specific Functions

In addition to the general responsibilities outlined in section 3.6.2, full-time faculty are expected to perform specific functions in the areas of teaching, scholarly or creative work, and service. Specific functions of part-time faculty are outlined in writing by the dean or Provost.

#### 3.6.3.1 Specific Functions Related to Teaching

Full-time faculty perform specific functions related to teaching that include but are not necessarily limited to the following:

1. Teaching courses as assigned.

Except in the School of Law, the official teaching load for full-time faculty is seven courses of conventional unit value per year, or the equivalent, as determined by the dean. This load will ordinarily be adjusted for department chairs and directors of special academic programs, for persons engaged in intensive research, and for those who may be carrying an unusually heavy burden of committee or administrative work. Such adjustments are made by the Provost upon the recommendation of the dean.

Department chairs and deans are expected to assign courses so that a faculty member on academic year appointment with a teaching load of five or more courses has teaching responsibilities in each term of the academic year. In order to promote the professional development of the faculty member or to meet the needs of the department, flexible course scheduling may be requested in special circumstances for a term without teaching responsibilities.

At the request of the chair and dean, a faculty member teaching in a year-round graduate program may agree to fulfill his or her teaching responsibilities by substituting the summer term for one quarter during the regular academic year. Such an assignment is to be noted in the Letter of Appointment. The dean will determine equitable service expectations and convey these expectations in writing to the faculty member. This option is not available in the Law School.

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2. Demonstrating a command of their discipline and skill in presenting it effectively in the context of an integrated education.
3. Using appropriate measures of student performance, providing timely feedback to students, and assigning grades that are an accurate and fair evaluation of student work.
4. Posting and maintaining regular office hours at times reasonably convenient to students.
5. Serving as an advisor to assigned students and providing informed advice.
6. Developing courses for which they are responsible and contributing to general curriculum development in the relevant degree programs.

#### 3.6.3.2 Specific Functions Related to Scholarly or Creative Work

Full-time faculty engage in an appropriate level of scholarly or creative activity. Regular Faculty as defined in Section 3.1.1 are expected to produce scholarly or creative work recognized as such by the relevant academic discipline and in the quantity and quality appropriate to their rank. Other Faculty as defined in Section 3.1.3 are expected to maintain a level of scholarly or creative activity that enables them to fulfill their primary responsibility for teaching.

#### 3.6.3.3 Specific Functions Related to Service

Full-time faculty perform specific functions related to service. These include but are not necessarily limited to fostering and advancing the mission and goals of the department, the University, or the profession through contributions other than teaching and scholarship or creative work such as service on committees, participation in professional

organizations and activities, and community service performed in virtue of their professional expertise or association with the University.

#### 3.6.4 Period of Service

The period of service for full-time faculty is the nine-month academic year unless otherwise specified in the Letter of Appointment or by written agreement with the Provost upon the recommendation of the dean. Except in the School of Law, for which the academic year is the middle of August to the middle of May, the academic year lasts from approximately the middle of September to approximately the middle of June. The date when members of the Faculty are to return to campus or to be on call for activities related to the start of the academic year in September is announced annually by the Provost. This date ordinarily follows the preceding June commencement ceremony by three months.

#### 3.6.5 Conflict of Interest

A conflict of interest exists when a faculty member's ability to discharge University responsibilities and functions in an ethical manner is compromised because of other professional or personal interests.

Faculty members must be sensitive to situations in which there is a potential for conflict of interest and actively avoid such a conflict. Such conflicts may arise when a faculty member serves in any administrative or service capacity that provides an opportunity to evaluate a family member or a colleague whom he or she cannot judge fairly. It may also arise when a faculty member is a consultant for, or has some other financial interest in, a business venture that is related to his or her own research or teaching.

Such situations pose the danger that basic standards of fairness, academic principles, or educational priorities will or may appear to be distorted by the opportunity for special advantage on the part of a faculty member, an academic unit in which he or she works, or even the University itself.

#### 3.6.6 Grading

The awarding of course grades is the exclusive responsibility of the teacher of the course. No member of the faculty or of the administrative staff of the University may solicit a teacher or apply pressure to award a particular grade or change a grade once given. After a grade has been filed with the Registrar, it shall not be changed except to correct a computational error or an error in transcription or other procedural error, or to comply with policies and procedures contained in Appendix E (Policies and Procedures on Student Appeals of Grades) or Appendix F (Policy on Unlawful Harassment and Unlawful Discrimination).

A grade should be an accurate, fair, and timely evaluation of a student's work and should not be affected by irrelevant or extraneous factors.

Procedures to be followed for the timely filing or changing of grades are determined by the Registrar.

### 3.6.7 Unlawful Harassment and Unlawful Discrimination

Any behavior constituting unlawful harassment or unlawful discrimination toward any individual in the course of any University-administered program, job, or activity is prohibited. The University does not tolerate unlawful harassment or unlawful discrimination and will take prompt and effective corrective action including, where appropriate, disciplinary action up to and including dismissal or expulsion. This University policy applies to all University staff, students, and faculty, and all other individuals engaged in University activities.

The full text of this University policy is set forth in Appendix F and is incorporated here by this reference.

### 3.6.8 Consensual Relations Between Employees and Students

In addition to prohibiting sexual harassment under the Policy on Unlawful Harassment and Unlawful Discrimination (Section 3.6.7), the University prohibits any consensual dating, romantic, or sexual relationship between an employee and a student over whom that employee has any instructional, supervisory, advising, or evaluative responsibility.

Such a relationship is fraught with problems, including the potential for exploitation, favoritism, and conflict of interest. The appearance of impropriety or unfairness may also adversely affect the learning and work environment for other students and employees.

This policy applies to faculty, staff, and student employees. Employees who violate this policy are subject to sanctions for misconduct under the policies of the Faculty Handbook, Staff Manual, or Student Employment Handbook, as appropriate to their employment status.

Employees or students with questions about this policy should contact the Office of Affirmative Action or the Department of Human Resources.

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### 3.6.9 Use of University Name and Seal

The University's name and seal are registered trade marks with the United States Patent Office and are fully protected under the law from unauthorized use. Unless the President has given prior explicit approval, no member of the faculty shall use the University's name or seal to seek proprietary gain, to issue any opinion about the merit or credit of a business undertaking, or to sponsor or oppose any organization or cause.

Faculty members may identify themselves as members of the University. Unless authorized to speak on behalf of the University, however, they should exert every reasonable effort when they make public statements to indicate that they speak as individuals rather than on behalf of the University.

#### 3.6.10 Miscellaneous University Policies

Faculty are subject to policies relating to a smoke-free environment, a drug-free school and workplace, operation of motor vehicles, public safety inspections, and workplace violence and threats of harm. These policies appear in sections 702-706 of the Santa Clara University Staff Policy Manual (<http://www.scu.edu/hr/policy/>) which, as they may be amended from time to time, are incorporated herein by this reference.