

**UC DAVIS:**  
**Committed to a positive and inclusive  
campus culture**

**Maureen Stanton**  
**Vice Provost – Academic Affairs**

**September 29, 2014**



# TOPICS

- The Faculty Code of Conduct [Academic Personnel Manual (APM) 015]
- The Principles of Community
- Work Life Program and Policies
- Resources









# FACULTY CODE OF CONDUCT (APM 015)

- **Part I** -- Professional rights of faculty
- **Part II** – Professional responsibilities of faculty, ethical principles, and examples of unacceptable faculty conduct
  - Expectations focus on the relationship of faculty to: teaching & students, scholarship, the University, colleagues, & the community
- **Part III** -- Information on process for review of allegations of misconduct

# Academic Affairs

*Serving the professional Academic Community at UC Davis*

[Home](#)
[People](#)
[Your Resources](#)
[Policies](#)
[Programs](#)
[Tools](#)
[Training](#)
[Honors](#)
[Diversity & Equity](#)

Home

## Quick Links

[Academic Personnel Manual](#)  
[Annual Call](#)  
[Attributes Chart](#)  
[Deans, Directors & Department Chairs List](#)  
[Delegations of Authority](#)  
[FAQs](#)  
[MOUs](#)  
[Salary Scales](#)  
[UCD Policy & Procedures Manual \(PPM\)](#)



**Awards - national and international awards and honors for our academic community**



## What's New

[Faculty Search Committee Workshop 2013: PDF Resources Package](#)  
[2013-14: Recommended Language for Department Solicitation Letter to External Reviewers \(include in all solicitation letters\)](#)  
[2013-14 Non Represented Academic Salary Increases](#)  
[UC Davis receives \\$1.5 million grant for early-career faculty awards](#)  
[Chancellor Katehi joins national initiative to promote faculty work-life balance](#)

# Academic Affairs

*Serving the professional Academic Community at UC Davis*

[Home](#)
[People](#)
[Your Resources](#)
[Policies](#)
[Programs](#)
[Tools](#)
[Training](#)
[Honors](#)
[Diversity & Equity](#)

[Home](#) > [Policies](#) > Academic Personnel Manual

## Academic Personnel Manual

### Quick Links

[Academic Personnel Manual](#)

[Annual Call](#)

[Attributes Chart](#)

[Deans, Directors & Department Chairs List](#)

[Delegations of Authority](#)

[FAQs](#)

[MOUs](#)

[Salary Scales](#)

The Academic Personnel Manual (APM) includes Universitywide policies and UC Davis policies and procedures. Universitywide policies are developed and issued by the UC Office of the President (UCOP); the section numbers for Universitywide policies are preceded by "APM." The UC Davis policies and procedures are developed by the Office of the Vice Provost-Academic Affairs and used in concert with applicable UC policies or, in some instances, as stand-alone policies not specific to a particular UC policy. Section numbers for UC Davis policies and procedures are preceded by "UCD."

[View the APM here](#)





# Academic Personnel Manual

About the APM Table of Contents

Administrative Policy Personnel Policies for Staff Members Policy and Procedure Manual Delegations of Authority

[Home](#) > [Table of Contents](#)

## Table of Contents

### Quick Links

[Office of the Chancellor](#)

[Office of the Provost](#)

[Academic Affairs](#)

[Directives](#)

[Principles of Community](#)

[Search the Policy Manuals](#)

Universitywide policies listed below begin with "APM." UC Davis policies and procedures begin with "UCD" and are highlighted below. Not all Universitywide policies have UCD procedures. Universitywide policies are issued by the Office of the President and apply to all campuses and laboratories. UCD procedures are developed by Academic Affairs and issued by the Offices of the Chancellor and Provost and apply only to UCD, which includes all units under the jurisdiction of UC Davis, located in Davis, Sacramento, and all off-site locations.

Throughout these policies, the term "Chancellor" refers to the Chancellor and/or the Chancellor's designee. Responsibilities that cannot be redelegated by the Chancellor are stated explicitly within the policy.

### IN THIS SECTION

[I, General University Policy Regarding Academic Appointees](#)

[II, Appointment and Promotion](#)

[III, Recruitment](#)

[IV, Salary Administration](#)

[V, Benefits and Privileges](#)

### I. General University Policy Regarding Academic Appointees

[APM 005](#) Privileges and Duties of Members of the Faculty

[APM 010](#) Academic Freedom

[APM 015](#) The Faculty Code of Conduct

[UCD-015, Procedures for Faculty Misconduct](#)



# **APM 015 Part I: The Faculty Code of Conduct as Approved by the Assembly of the Academic Senate**

## **Ethical Principles**

These are drawn primarily from the 1966 *Statement on Professional Ethics* and subsequent revisions of June, 1987, issued by the American Association of University Professors. They comprise ethical prescriptions affirming the highest professional ideals. They are aspirational in character, and represent objectives toward which faculty members should strive. Behavior in accordance with these principles clearly precludes the application of a disciplinary sanction. These Ethical Principles are to be distinguished from Types of Unacceptable Faculty Conduct referred to in the following paragraph. The Types of Unacceptable Faculty Conduct, unlike the Ethical Principles, are mandatory in character, and state minimum levels of conduct below which a faculty member cannot fall without being subject to University discipline.

# APM 015 Part II: Provides examples of unacceptable behavior in the following areas

- Teaching and Interactions with students
- Scholarship
- University
- Colleagues
- Community



# EXAMPLES: TEACHING & STUDENTS

- Failure to meet teaching responsibilities (e.g., arbitrary denial of access; failure to meet class, office hours, scheduled exams; demonstrably unfair evaluation)
- Persistent insertion of material unrelated to the subject matter into the classroom
  - May be seen as an academic freedom issue
- Discrimination/harassment
- Abetting disruption, interference, or intimidation in classroom
- Having a romantic or sexual relationship with a student for whom you have, or should reasonably expect to have in the future, academic responsibility



# EXAMPLE: SCHOLARSHIP

Violation of canons of intellectual honesty, such as research misconduct and/or *intentional* misappropriation of the writings, research, and findings of others

## Research misconduct

- Plagiarism
- Falsification of data, findings





# EXAMPLES: UNIVERSITY

- *Intentional* disruption of University functions/activities
- Incitement of others to disobey University rules
- Unauthorized use of University resources/facilities on a significant scale for personal, commercial, political, or religious purposes
- Discrimination, harassment of colleagues/staff
- *Serious* violation of University policies governing professional conduct of faculty including:
  - research, outside professional activities, conflicts of commitment, clinical practices, animal or human subject; violence in the workplace, & whistleblower protections

# EXAMPLES: COLLEAGUES

- Evaluating colleagues by criteria not directly reflective of professional performance
- Breaching established rules governing confidentiality in personnel procedures
- Discrimination, including harassment, for arbitrary or personal reasons
- Creating a hostile work environment for colleagues

# EXAMPLES: COMMUNITY

- Intentional misrepresentation of personal views as a statement of position of the University or any of its agencies
- Commission of a criminal act which has led to conviction in a court of law and which clearly demonstrates unfitness to continue as a member of the faculty



# **APM 015 Part III:**

## **Faculty misconduct inquiry/investigation**

At UC Davis, the review of allegations of violations of APM 015 is outlined in UCD APM 015:

1. Informal inquiry/investigation
2. If reasonable basis exists, a formal investigation is initiated
  - Faculty reviewer is appointed
  - Faculty member being investigated is informed
  - Complainant is informed
  - May result in administrative or disciplinary action



# UC Davis PRINCIPLES OF COMMUNITY

- We affirm:
  - The dignity inherent in all of us
  - The right to freedom of expression
  - Our commitment to the highest standards of civility & decency towards each other
- We set forth ideals and expectations for campus interactions, including:
  - treating others with respect & civility
  - finding effective means to disagree, to persuade, and to inform through rational discussion

<http://principles.ucdavis.edu>



# COLLEGIALITY... a thorny issue

- In general, a *collegial* faculty member is one who adheres to the Principles of Community and shares workload and responsibility
- Collegiality is highly valued, as it makes departments and the campus run smoothly
- However, a lack of collegiality *per se* is not considered in the merit and promotion process unless it is documented and can be shown to have affected:
  - Research/other creative scholarly activities
  - Service
  - Teaching/mentorship

**QUESTIONS?**