

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

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Vice Provost – Academic Affairs**

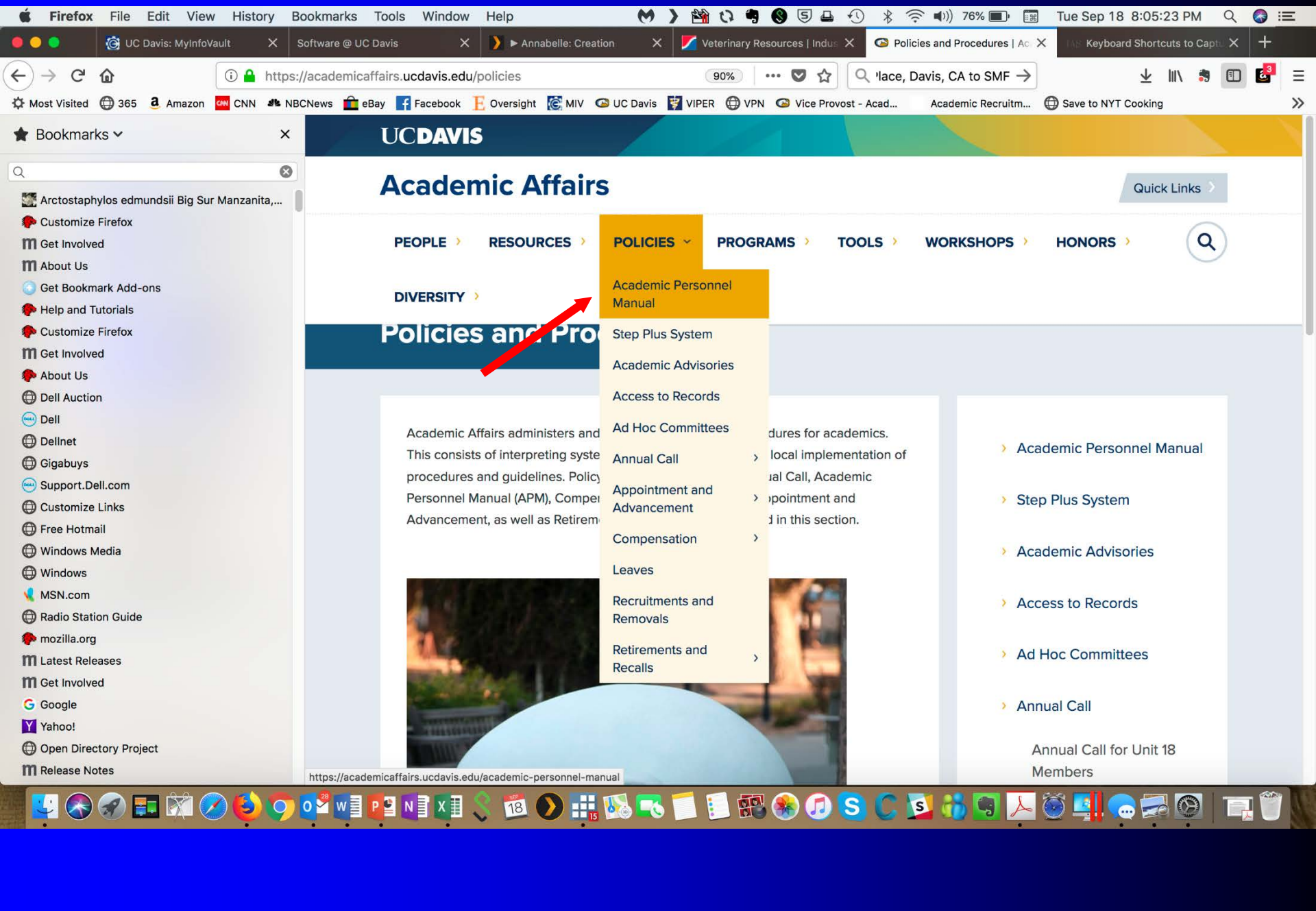
September 24, 2018



FACULTY CODE OF CONDUCT (APM 015)

http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-015.pdf

- **Part I** -- Professional rights of faculty
- **Part II** – Professional Responsibilities, Ethical Principles and Unacceptable Faculty Conduct
 - ethical principles
 - types of unacceptable faculty conduct
 - expectations focus on the relationship of faculty to: teaching & students, scholarship, the University, colleagues, & the community
- **Part III** – Enforcement and Sanctions - process applicable to unacceptable faculty behavior



Academic Affairs

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> Academic Personnel Manual

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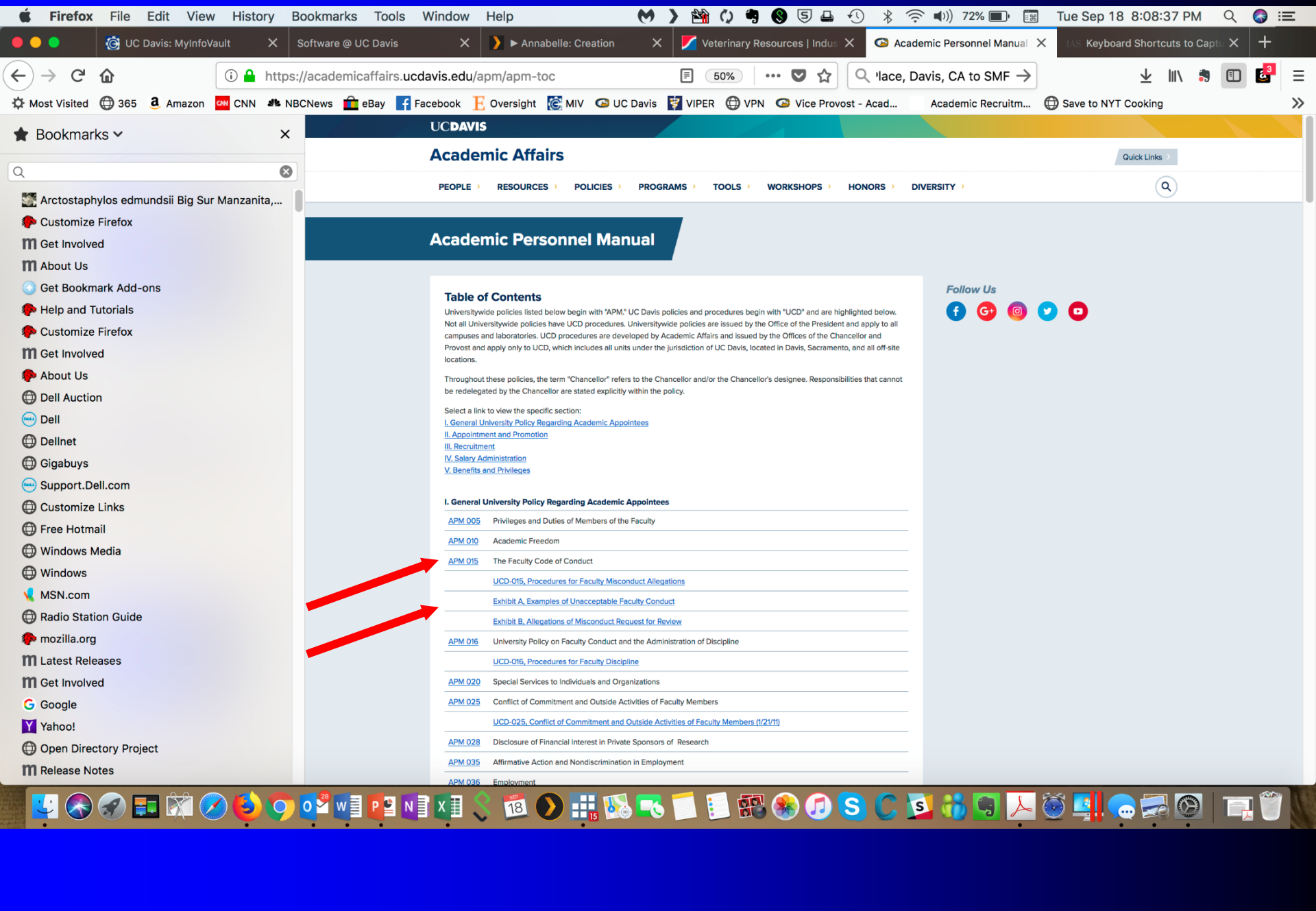
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UC DAVIS
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Academic Personnel Manual

Table of Contents

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.

Select a link to view the specific section:

- [I. General University Policy Regarding Academic Appointees](#)
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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 Allegations
	Exhibit A, Examples of Unacceptable Faculty Conduct
	Exhibit B, Allegations of Misconduct Request for Review
APM 016	University Policy on Faculty Conduct and the Administration of Discipline
	UCD-016, Procedures for Faculty Discipline
APM 020	Special Services to Individuals and Organizations
APM 025	Conflict of Commitment and Outside Activities of Faculty Members
	UCD-025, Conflict of Commitment and Outside Activities of Faculty Members (1/21/11)
APM 028	Disclosure of Financial Interest in Private Sponsors of Research
APM 035	Affirmative Action and Nondiscrimination in Employment
APM 036	Employment

Follow Us



APM 015 Part I:

Professional Rights of Faculty

- Academic freedom
 - free inquiry and exchange of ideas
 - right to present controversial materials
 - freedom of expression
 - freedom to address institutional policy/action
- ***Participation*** in the governance of the University
 - course content/manner of instruction
 - setting admissions and degree requirements
 - appointment and promotion of faculty
 - selection of chairs and administrators
 - discipline
 - establishing norms for teaching
 - departmental governance and voting

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 to instruction; failure to hold class, office hours, scheduled exams; demonstrably unfair evaluation)**
- **Significant intrusion of material unrelated to the subject matter into the classroom**
 - **But may be seen as an academic freedom issue**
- **Discrimination or harassment**
- **Violating UC Policy prohibiting Sexual Violence/Sexual Harassment in relation to students**
- **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**



EXAMPLES: SCHOLARSHIP

Violation of canons of intellectual honesty, such as research misconduct 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 subjects, violence in the workplace, and 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
- Violation of Sexual Violence/Sexual Harassment Policy in relations to any member of the University Community



EXAMPLES: COMMUNITY

- Intentional misrepresentation of one's personal views as a statement of position of the University or any of its agencies
 - e.g., personal positions on political candidates or ballot issues represent protected speech, but must not be presented as the university position
- Commission of a criminal act that has led to conviction in a court of law and that clearly demonstrates unfitness to continue as a member of the faculty



APM 015 Part III:

Faculty misconduct inquiry/investigation

At UC Davis, the process for 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 in most cases
 - Faculty member being investigated is informed
 - Complainant is informed
 - May result in administrative or disciplinary action



Some investigations are led by the office of Chief Compliance Officer Wendi Delmendo

- Examples:
 - Sexual harassment / sexual violence (Title IX) (see next slide)
 - Discrimination / harassment against protected groups
 - Whistleblower complaints about policy violations & retaliation against whistleblowers

In cases involving faculty members or other career academics, the compliance office collaborates with Academic Affairs.



New Systemwide Procedures for Investigating Allegations of Sexual Violence/Sexual Harassment (SV/SH)

- Title IX Officer charges investigations into allegations of SV/SH by Faculty.
- No Faculty Reviewer is used in SVSH investigations
- If Title IX report substantiates SVSH policy, the Vice Provost convenes a meeting of the UC Davis Peer Review Committee (PRC) to review the report and make recommendations for appropriate discipline and/or non-disciplinary resolution.
- The PRC is made up of faculty specifically trained on policies and issues related to SVSH.

Staying out of trouble isn't hard

- Do not ever initiate touching of other people (except to shake hands)
- Do not drink or serve alcohol around students
- Always observe boundaries, e.g., faculty/student – you are in a position of power
- Do not befriend students – they are not your peers
- If you anticipate contentious conversations, consider meeting in a public place
- If "red flags" go off, pay attention to them

Staying out of trouble isn't hard

- If you feel you have been wronged, seek help – never retaliate
- “Cultural differences” or “intention” or “I had too much to drink” are not acceptable excuses
- Be judicious about making remarks about peoples’ appearances
- Don’t tell jokes that could be perceived by some as offensive
- Do not discuss your personal life with students
- If you socialize with students, do it as part of a group
- Keep the door to your office open



UC Davis PRINCIPLES OF COMMUNITY

- We affirm:
 - The dignity inherent in all of us
 - Strive to maintain a climate of equity and justice
 - Our commitment to the highest standards of civility and decency towards each other
- We set forth ideals and expectations for campus interactions, including:
 - treating others with courtesy, sensitivity, and respect
 - take pride in our achievements and celebrate our differences
 - <http://principles.ucdavis.edu>
 - Living the Principles of Community (e-learning):
http://sdps.ucdavis.edu/course_catalog/communication/living_p_o_c_online.html





Office of Campus Community Relations

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The Principles of Community

The Principles of Community

What Are the Principles of Community?

"LIVING THE PRINCIPLES OF COMMUNITY" Online Course

Principles of Community Reaffirmed

Translations of the Principles of Community Reaffirmed

Prologue: UC Davis is a diverse community comprised of individuals having many perspectives and identities.

We come from a multitude of backgrounds and experiences, with distinct needs and goals. We recognize that to create an inclusive and intellectually vibrant community, we must understand and value both our individual differences and our common ground. The UC Davis Principles of Community is an aspirational statement that embodies this commitment, and reflects the ideals we seek to uphold.

Principles of Community

The University of California, Davis, is first and foremost an institution of learning, teaching, research and public service. UC Davis reflects and is committed to serving the needs of a global society comprising all people and a multiplicity of identities. The university expects that every member of our community acknowledge, value, and practice the following guiding principles.

We affirm the dignity inherent in all of us, and we strive to maintain a climate of equity and justice demonstrated by respect for one another. We acknowledge that our society carries within it historical and deep-rooted injustices and biases. Therefore, we endeavor to foster mutual understanding and respect among the many parts of our whole.

UC DAVIS PRINCIPLES OF COMMUNITY

UC DAVIS
UNIVERSITY OF CALIFORNIA

Principles of Community



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 at this university, as it makes departments and the campus run smoothly, and improves campus climate for all
- However, a lack of collegiality *per se* is not considered in the merit and promotion process **unless** it is documented by the department and dean, and can be shown to have affected one or more of:
 - Research/other creative scholarly activities
 - Service
 - Teaching/mentorship

Thank you! Any questions?