

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

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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 rights and conduct of faculty
 - 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 process applicable to unacceptable faculty behavior

Shortcut to finding the APM

UC DAVIS

Academic Affairs

Serving the Professional Academic Community at UC Davis

Quick Links >

PEOPLE > RESOURCES > POLICIES > PROGRAMS > TOOLS > WORKSHOPS > HONORARY

- Academic Employment Opportunities (RECRUIT)
- Academic Personnel Manual
- Annual Call
- Attributes Chart
- Deans, Directors & Department Chairs List
- Delegations of Authority
- Extramural Letter Requirements Chart
- Frequently Asked Questions
- MOUs
- Salary Scales
- Step Plus System
- UCD Policy & Procedures Manual (PPM)

Serving the professional academic community at UC Davis

Academic Affairs

Serving the Professional Academic Community at 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](#)

[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 Allegations](#)

[Exhibit A, Examples of Unacceptable Faculty Conduct](#)

[Exhibit B, Allegations of Misconduct Request for Review](#)

› [Academic Enrichment Fund \(AEF\) Accounts](#)

› [Academic Advisories](#)

› [Academic Personnel Manual](#)

› [Access to Records](#)

› [Ad Hoc Committees](#)

› [Annual Call](#)

[Annual Call for Unit 18 Members](#)

[Historical Annual Calls](#)

› [Appointment and Advancement](#)

› [Compensation](#)

[FLSA Overtime Changes](#)

[Salary Scales](#)

[Negotiated Salary Trial Program \(NSTP\)](#)

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**



Example: Teaching and Students

- Failure to meet teaching responsibilities (e.g., arbitrary denial of access to instruction; failing to teach in person, failure to hold class, office hours, scheduled exams; demonstrably unfair evaluation, refusing to post grades on time)
- Persistent insertion of material unrelated to the subject matter into the classroom that is inconsistent with the course content approved by the Committee on Courses and Instruction
- 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 or university funds (even start-up) on a significant scale for **personal**, commercial, political, or religious purposes
- Forcible detention, threats of physical harm or harassment of another university community member that interferes with their ability to perform university activities
- Discrimination, harassment of colleagues/staff
- Sexual violence and sexual harassment, as defined by University policy, of another member of the University community.
- *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
 - Using UC Davis branding to suggest University endorsement of something of your own
- 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



UCOP Policy:

Abusive Conduct in the Workplace

Abusive Conduct, as defined in Section II of this policy, may include but is not limited to the following types of conduct:

- Use of abusive and/or **insulting language** (written, electronic or verbal)
- Spreading **false information misinformation and malicious rumors**
- Behavior, language, or gestures that **frighten, humiliate, belittle, or degrade**, including criticism or feedback that is delivered with **yelling, screaming, threats, implicit threats, or insults**
- Encouraging others to act, singly or in a group, **to intimidate or harass** other individuals

UCOP Policy: Abusive Conduct in the Workplace

- Making repeated or egregious comments about a person's **appearance, lifestyle, family, culture, country of origin, visa status, religious/spiritual/philosophical beliefs, or political views** in a manner not covered by the University's policies prohibiting discrimination.
- Teasing or making someone the brunt of **pranks or practical jokes**
- Interfering with a **person's personal property or work equipment** without a legitimate business or educational purpose
- Circulating **photos, videos, or information via e-mail, text messages, social media**, or other means without a legitimate business or educational purpose

UCOP Policy: Abusive Conduct in the Workplace

- Making **unwanted physical contact or encroaching on another individual's personal space**, in ways that would cause discomfort and unease, in a manner not covered by the University's Sexual Violence and Sexual Harassment policy
- Purposefully **excluding, isolating, or marginalizing a person from normal work activities** for non-legitimate business purposes
- Repeatedly **demanding of an individual that the individual do tasks or take actions that are inconsistent with that individual's job**, are not that individual's responsibility, for which the employee does not have authority, or repeatedly refusing to take "no" for an answer when the individual is within the individual's right to decline a demand; pressuring an individual to provide information that the individual is not authorized to release (or may not even possess)

UCOP Policy:

Abusive Conduct in the Workplace

- **Making threats to block a person's academic or other advancement opportunities**, or continued employment at the University without a legitimate business or educational purpose
- **Sabotaging or undermining a person's work performance**

Abusive Conduct does not include exercising appropriate supervision of employees or carrying out instruction, grading, assessment, and evaluation. It does not include performance management or providing appropriate feedback.

Additional Resources

Reporting Abusive Conduct or Retaliation

Abusive conduct should be reported to supervisors, managers or directly to Employee and Labor Relations (ELR) (see below).

**Download Reporting Form for UC
Davis Health**

**Download Reporting Form for
Davis Campus**

➤ **Supervisors Must** address abusive conduct immediately.

- Managers and supervisors (including Chairs and Deans) should report abusive conduct to ELR (see below) even if the incident(s) appear(s) to be resolved.
- Managers and supervisors will receive guidance on the process.

<https://hr.ucdavis.edu/departments/elr/policies/abusive-conduct>

Required Training on Abusive Conduct Policy for ALL



Abusive Conduct in the Workplace

Click the Next button to proceed.

<https://uc.sumtotal.host/rcore/c/dash/home?domain=8&isDeepLink=1>

The screenshot displays the UC Learning Center dashboard. At the top, a dark blue header bar contains the 'UNIVERSITY OF CALIFORNIA Learning Center' logo on the left, navigation links for 'SELF' and 'MY TEAM' with dropdown arrows in the center, and a search bar with a 'Learning' dropdown and a magnifying glass icon on the right. A user profile icon with a dropdown arrow is located at the far right of the header. Below the header, a large banner image of a bookshelf is overlaid with the text 'Welcome to the UC Learning Center'. To the left of the main content area is a dark blue sidebar with icons and labels: 'Expand', 'Home', 'Timeline', 'Library', 'Learner D...', and 'Manager ...'. The main content area features seven colored tiles with icons and text: 'Manage My Registrations (Training Schedule)' in blue, 'Required Training (Training Analysis)' in maroon, 'My Learner Dashboard' in green, 'Transcript & Certificates (Training Transcript)' in purple, 'Find A Course (Search)' in orange, 'How Do I? / FAQ' in teal, and 'Contact Us' in maroon.

UNIVERSITY OF CALIFORNIA Learning Center

SELF ▾ MY TEAM ▾

Learning ▾ Search

Expand

Home

Timeline

Library

Learner D...

Manager ...

Welcome to the UC Learning Center

Manage My Registrations
(Training Schedule)

Required Training
(Training Analysis)

My Learner Dashboard

Transcript & Certificates
(Training Transcript)

Find A Course
(Search)

How Do I? / FAQ

Contact Us

UC Davis Good Standing Policy

- To be considered in good standing within the UC Davis Good Standing Policy, an Academic must:
 - be meeting expectations of the department chair and dean with regard to carrying out academic duties as commonly understood (e.g., fulfilling responsibilities with respect to research, teaching, and service, and/or criteria depending on academic title, as specified in the relevant section of the UC Academic Personnel Manual);
 - be up to date on their training and reporting requirements;
 - be in compliance with all applicable University policies;

UC Davis Good Standing Policy

- To be considered in good standing within the UC Davis Good Standing Policy, an Academic must:
 - have a completed Oath and Patent Acknowledgement form on file;
 - not be under a current sanction imposed either by a formal disciplinary process or an informal agreement with the University of California in lieu of formal disciplinary action, except to the extent that the sanction or agreement explicitly includes the provision of not being in good standing for a defined period of time; and
 - satisfy the good standing requirements of APM 670 and the current UC Davis School of Medicine and School of Nursing Health Sciences Compensation Plan Implementation Procedures if those requirements apply to the Academic.

Staying out of trouble isn't hard

The following examples I am going to tell you about are **all** based on **actual occurrences** at UC Davis. Each year the list grows.

Most importantly: **exercise good judgement**. These are not formal policies, but they are recommendations that you should remember.

Please take this advice very seriously. There have been times when careers here have been destroyed or permanently harmed by engaging in the activities I am about to tell you about. And it continues to happen.

Staying out of trouble isn't hard

- You are charged with responsible use of university funds. If you have to wonder if your expenditures are appropriate, they probably aren't. But ask your department staff for guidance.
- Department staff are your colleagues. Do not exert your positionality as faculty to intimidate them. They are stewards of university policy and can help you avoid problems

Staying out of trouble isn't hard

- **Get receipts for all expenses.**
- **Reconcile your expenses right away – do not wait. The university monitors unreconciled accounts.**
- **Separate your personal travel from your business travel. You can only use university funds for business expenses.**
- **If you are audited – cooperate, do not obfuscate.**

Staying out of trouble isn't hard

- **You are required to teach your courses in person by the UC Davis Academic Senate.**
- **You are not allowed to switch to remote instruction.**
- **The Committee on Courses of Instruction's Virtual and Hybrid Courses policy requires that courses in which an average of one or more contact hours per week are conducted online be classified as hybrid or virtual via the Integrated Curriculum Management System (ICMS).**
- **Instructors must teach their courses via the learning activities and modalities as they appear in ICMS and the General Catalog.**

Staying out of trouble isn't hard

- Do not touch other people (except to shake hands in a professional context, give hugs in a congratulatory context, *if welcome and mutual*)
- Do not stand too close to other people and respect personal spaces
- Be very cautious about drinking alcohol around students unless it is done in the context of a group social event, preferably when other faculty are around
- Never serve alcohol or other mind-altering substances to students
- Always observe boundaries – you are in a position of power over others

Staying out of trouble isn't hard

- If you anticipate contentious conversations, consider meeting in public places
- “It’s my culture” or “it wasn’t my intention” or “I had too much to drink” or “I was high” or “Nobody told me I couldn’t” are not acceptable excuses, and will not work
- Be highly cautious about making remarks about peoples’ appearances – what you intend to be a compliment may be received as unprofessional, unwelcome or insulting
- Do not ask people about their ethnicity, gender preference, disability, family’s country of origin, etc.

Staying out of trouble isn't hard

- Do not give personal gifts with romantic connotations to students
- If you feel you have been wronged, seek help – never retaliate
- Reserve use of social media for your personal use – do not post about any form of university business unless it is already in the public domain (including photos), or unless it is about your own laboratory or research group
- Be very cautious about the use of “emojis” – they may be interpreted in ways you never intended

Staying out of trouble isn't hard

- Do not invite students to vacation homes, to go into hot tubs, or other compromising places
- Do not invite students to your home unless it is a group activity
- Do not text or post photographs of yourself to students or co-workers
- Do not take or post photographs of others without their permission

Staying out of trouble isn't hard

- Do not tell jokes or make comments that could be perceived by others as offensive, however unintentional – HDAPP receives complaints from students who are triggered by what some consider to be humor
- If you are responsible (or will be) for academic supervision of a student, a personal relationship of a romantic or sexual nature, even if consensual, is *never* appropriate – so *never* do it
- Be a mentor, but do not try to befriend students, *especially* those who are troubled - instead, refer them to resources and professionals on campus

Staying out of trouble isn't hard

- Do not ever discuss your personal, private, or sex life with students
- If you socialize with students, always do it in groups
- Keep the door to your office open when you meet students
- Do not correspond with students via social media – use an appropriate university resource like Canvas or university email
- If any "red flags" go off, pay attention to them. If you have to wonder if something is appropriate, it probably isn't

Staying out of trouble isn't hard

- Don't drink and dial
- Don't drink and email
- If you're angry, give yourself a 24-hour cooling off period before engaging over the issue
- Don't write critical things about your colleagues on social media, even if you don't name names
- Think before you write anything negative in an electronic format – it could be immortal
- University facilities are for university business only, and university resources are not for personal use

**Thank
you!**



Reference Material

- Time precludes us from covering everything during this session, but please look at the remaining slides on your own as they also cover important topics.

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 **APM UCD 015**:

1. Informal inquiry/investigation
2. If reasonable basis exists, a formal investigation is initiated
 - Faculty reviewer is appointed in most cases, with a trained staff investigator
 - 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 Danesha Nichols

- Examples:
 - Sexual harassment / sexual violence (Title IX)
 - 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 (AA) and resulting investigations are co-charged by the VPAA and the Compliance Officer.

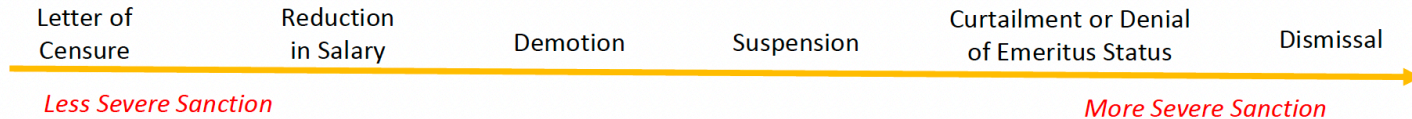


Systemwide Procedures for Investigating Allegations of Sexual Violence/Sexual Harassment (SV/SH)

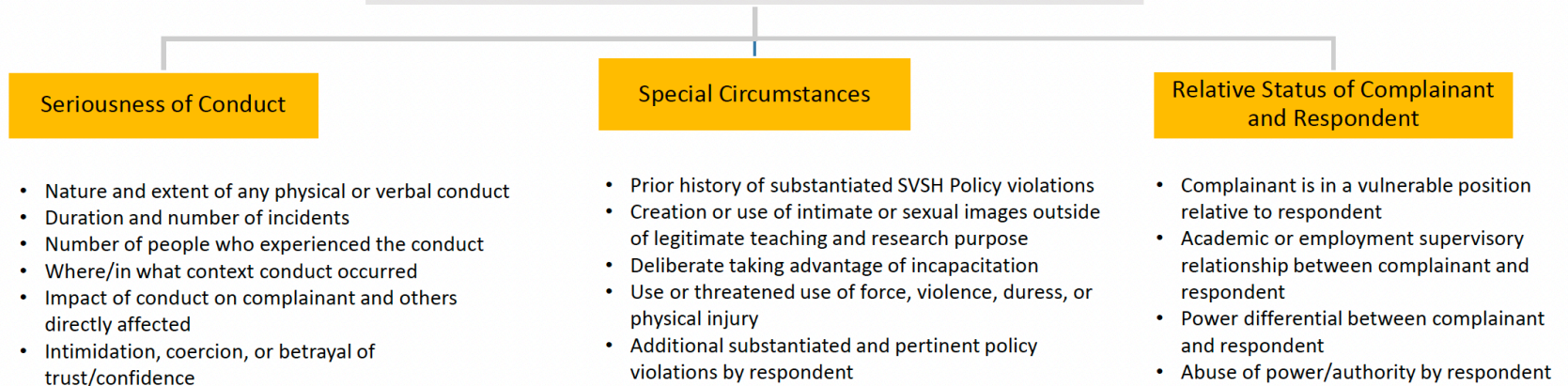
- Title IX Officer charges investigations into allegations of SV/SH by Faculty.
- No Faculty Reviewer is used in the SVSH investigation
- If Title IX report substantiates SVSH policy, the Vice Provost convenes a meeting of the UC Davis Peer Review Committee (PRC), to review the report and make recommendations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

SVSH Faculty Respondent Disciplinary Sanction Guidelines

Types of Faculty Disciplinary Sanctions under APM 016



Factors that Affect the Types of Disciplinary Sanctions for Faculty SVSH Respondents



Lower level sanctions are typically recommended where few of the factors listed above are met.

Higher level sanctions are typically recommended where multiple factors listed above are met.

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 and decency towards each other
- We set forth ideals and expectations for campus interactions, including:
 - treating others with courtesy, sensitivity, and respect
 - finding effective means to disagree, to persuade, and to inform through rational discussion

<http://principles.ucdavis.edu>

- Living the Principles of Community (e-learning):
http://sdps.ucdavis.edu/course_catalog/communication/living_p_o_c_online.html



UC Davis Principles of Community

Supporting Inclusive Excellence

Home • Employee Resources • Promoting Inclusive Excellence • **Supporting Inclusive Excellence**



Belonging and Community for Employees

- > [Employee Resource Groups](#)
- > [Training and Education](#)
- > [Policies & Resources](#)
- > [Best Employer for Diversity Award](#)

UC Davis offers a number of professional development and training opportunities to support our mission of developing the talent of our workforce and creating inclusive and culturally aware staff.



Learn more about [Learning & Development here](#). Additionally, learn more about the full suite of training opportunities offered by [Inclusive Excellence here](#).

- > [Conducting Culturally Inclusive Trainings](#)
- > [Supervisory Development Program](#)
- > [Is it Bullying? Awareness and Strategies](#)
- > [LGBTQIA Ally Training](#)
- > [Living the Principles of Community Online Course](#)



<https://hr.ucdavis.edu/employees/inclusive-excellence/training>

Supporting Inclusive Excellence

The screenshot displays the LMS interface for the University of California Learning Center. The top navigation bar includes 'SELF' and 'MY TEAM' dropdowns, a 'Learning' dropdown, a search bar, and a user profile icon. A left sidebar contains navigation links: 'Expand', 'Home', 'Timeline' (with a notification badge), 'Library', 'earner Da...', and 'Manager D...'. The main content area features a course card for 'LIVING THE PRINCIPLES OF COMMUNITY' with an 'e-Learning' icon, a '1h' duration, and a 'START' button. Below the card is a section titled 'Alternative Activities' with a sub-link 'Living the Principles of Community'. The course details are shown in a tabbed interface with 'DETAILS', 'ACTIVITIES', and 'SIMILAR ACTIVITIES' tabs. The 'Full Description' tab is active, showing a paragraph about the course's purpose and content. A 'Schedule and Pricing' section is partially visible below.

UNIVERSITY OF CALIFORNIA Learning Center

SELF ▾ MY TEAM ▾

Learning ▾ Search 🔍

Expand

Home

Timeline 2

Library

earner Da...

Manager D...

COURSE

LIVING THE PRINCIPLES OF COMMUNITY

1h

START

Alternative Activities

Living the Principles of Community

DETAILS **ACTIVITIES** **SIMILAR ACTIVITIES**

▼ **Full Description**

This on-line course is designed to promote inclusiveness and respect in the work and learning environment at UC Davis, introducing the concepts to new members of the campus community while reinforcing them to existing members. Participants, especially UC Davis staff members and academic appointees, will become familiar with ways to integrate the UC Davis Principles of Community into their own workplaces and classrooms. This highly interactive course includes up-to-date information on discrimination, sexual harassment, affirmative action and diversity along with the University's policies governing these issues. Through realistically subtle and complex scenarios, learners discover that there is more than one "right" way of preventing, managing and resolving conflicts related to these topics. This course will inform and equip participants with essential knowledge and skills, ultimately resulting in fewer such conflicts, improved morale, decreased institutional liability, and a more respectful and inclusive campus environment. Approximately 60 minutes in length.

► **Schedule and Pricing**

The view of the course in the Learning Management System.
(lms.ucdavis.edu)

Collegiality

- 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