

**Committee on Academic Freedom**  
**Brent Lin, DMD, Chair**

**ANNUAL REPORT**  
**2016-2017**

**Primary Focus Points for the Year:**

- CAF Bylaw
- Question-of-the-Month
- Review of Revised Presidential Policy on Electronic Information Security (IS-3)

---

**2016-2017 Members**

**Brent Lin, DMD, Chair, (D)**  
**Eric Widera, Vice Chair, (M)**  
Jyu-Lin Chen, RN, PhD, FAAN, (N)  
Karen Ordovas, MD, MAS, (M)  
George Sawaya, MD, (M)

**Number of Meetings: 8**

**Senate Analyst:** Shilpa Patel/Todd Giedt  
<http://senate.ucsf.edu/0-committee/a-acf.html>

**Systemwide Business**

**Review of Revised Presidential Policy on Electronic Information Security (IS-3)**

CAF reviewed the Revised Presidential Policy on Electronic Information Security (IS-3), and discussed the changes to the policy with Pat Phelan, Information Security Director at UCSF. While much of the policy seems appropriate, CAF was particularly concerned with section 1.2.2, "Costs of an Information Security Incident," which stated that "units will bear the direct costs that result from an Information Security Incident under the Unit's area of responsibility that resulted from a significant failure to comply with this policy." CAF's particular concern is that an affected unit may pass down these costs to a faculty member who may have been responsible for the security breach. CAF suggested a re-wording of this section, which was incorporated into the Divisional response (see Appendix 1).

**UCSF Divisional Business**

**CAF Bylaw**

Members reviewed Bylaw 140, CAF's bylaw, and briefly discussed revising the 'Duties' section. Members were specifically interested in updating the intake form. With respect to #3, it is doubtful that an Academic Freedom report has ever been produced. [NOTE: The Senate office does not have any record of such a report.] Members also agreed that UCSF's Climate Survey, which is put out by Academic Affairs, would be useful to review in this context.

**Open Access 2020**

Rich Schneider, Chair of the Committee on Library and Scholarly Communication (COLASC), spoke to CAF about the OA 2020 Initiative at its February 2017 meeting. CAF supported UCSF signing onto this initiative and sent a letter to Executive Council Chair Ruth Greenblatt to this effect.

### **Question of the Month**

CAF drafted an Academic Senate Question-of-the-Month, which was distributed to the faculty in May/June. It received 162 total responses (see Appendix 2 for results), with the following questions:

1. Circle one response that expresses your agreement/disagreement with the following statements (options included – “Strongly Agree”, “Agree”, “Neutral”, “Disagree”, “Strongly Disagree”, and “Not Applicable”):
  - a. The level of academic freedom I perceive in my teaching at UCSF is high.
  - b. The level of academic freedom I perceive in my research at UCSF is high.
  - c. It is important for me to have academic freedom in my teaching at UCSF.
  - d. I am concerned about constraints on my academic freedom in my teaching at UCSF.
  - e. I am concerned about constraints on my academic freedom in my research at UCSF.
2. How often did you have an academic freedom concern in the last five years?
  - a. No concerns
  - b. 1-3 times
  - c. 5-10 times
  - d. More than ten times
3. Where or who would you go to address a concern about your academic freedom?
  - a. Chair
  - b. Fellow faculty member
  - c. Academic Senate
  - d. Don't know
  - e. Other
4. Please describe a situation in which you felt you or your colleagues' academic freedom was infringed upon, and if/how it was addressed.

**Summary of Responses:** In general, UCSF faculty members feel that while their academic freedom is important, they do not feel that it is threatened at this time. They also perceive a relatively high level of academic freedom in their teaching and research at UCSF. Finally, it is interesting to note that in cases in which they felt that their academic freedom was impinged upon, faculty members seem inclined to go to their Chair rather than to the Academic Senate.

### **Going Forward**

Ongoing issues under review or actions which the Committee on Academic Freedom will continue into 2017-2018:

- Chancellors Fund
- Climate Study
- Analysis of the Question of the Month Survey Responses; Next Steps
- Strategies to Leverage CAF Efforts with Other Senate Committees
- CAF Bylaw

### **Appendices**

- CAF Letter to Executive Council Chair Ruth Greenblatt regarding the *Review of Revised Presidential Policy on Electronic Information Security (IS-3)*
- Results of the CAF Question-of-the-Month

Senate Staff:  
Todd, Executive Director, [todd.giedt@ucsf.edu](mailto:todd.giedt@ucsf.edu); 415/476-1307



<http://senate.ucsf.edu>

Communication from the Committee on Academic Freedom  
Brent Lin, DMD, Chair

26 June 2017

Ruth Greenblatt, MD, Chair  
UCSF Academic Senate  
500 Parnassus Avenue,  
San Francisco, CA

Re: CAF Comments on the Review of Revised Presidential Policy on Electronic Information Security (IS-3)

Dear Chair Greenblatt,

At its most recent meeting, the Committee on Academic Freedom (CAF) reviewed the *Revised Presidential Policy on Electronic Information Security (IS-3)*, and discussed the changes to the policy with Pat Phelan, Information Security Director at UCSF. While much of the policy seems appropriate, CAF is concerned with section 1.2.2, Costs of an Information Security Incident, which states that “units will bear the direct costs that result from an Information Security Incident under the Unit’s area of responsibility that resulted from a significant failure to comply with this policy.” CAF’s particular concern is that an affected unit may pass down these costs to a faculty member who may have been responsible for the security breach. Although this section seems to apply to blatant transgressors of this policy (e.g., those who have deliberately chosen not to encrypt laptop computers, failure to install BigFix, etc.), CAF is suggesting the following changes in the language within this section (additions in **bold underline**) to :

Units **will may** bear the direct costs that result from an Information Security Incident under the Unit’s area of responsibility that resulted from a significant failure to comply with this policy. **A “significant failure to comply with this policy” includes repeated failures to apply information security policies, procedures, standards and best practices, and/or attempt to gain unauthorized access, disrupt operations, gain access to confidential information security strategies or inappropriately alter Institutional Information.** The costs include, but are not limited to: the response, containment, remediation, forensics, analysis, notification, litigation, penalties, regulatory fines and any other costs directly attributable to the Information Security Incident.

If you have any questions on CAP’s comments, please do not hesitate to let me know.

Sincerely,

Brent Lin, DMD  
CAF Chair

# Survey Report

## Questions of the Month

Show "No Answer" (if applicable)

Start Date	End Date	Survey Name	No. of Recipients	Responses	Manager
06/08/2017	06/30/2017	Questions of the Month	4314	162	George Michael

Item	Survey Name	Response	Count	Percentage
1 1	A. The level of academic freedom I perceive in my teaching at UCSF is high.	Strongly Agree	63	38.89%
		Agree	63	38.89%
		Not Applicable	11	6.79%
		Disagree	7	4.32%
		Neutral	14	8.64%
		Strongly Disagree	4	2.47%
		<b>Total</b>		<b>162</b>

Item	Survey Name	Response	Count	Percentage
2 2	B. The level of academic freedom I perceive in my research at UCSF is high.	Strongly Agree	66	40.74%
		Agree	57	35.19%
		Neutral	10	6.17%
		Not Applicable	22	13.58%
		Strongly Disagree	3	1.85%
		No Answer	1	0.62%
		Disagree	3	1.85%
		<b>Total</b>		<b>162</b>

<b>3</b>	<b>Item 3</b>	C. It is important for me to have academic freedom in my teaching at UCSF.	Agree	38	23.46%
			Strongly Agree	106	65.43%
			Not Applicable	6	3.7%
			Strongly Disagree	2	1.23%
			Neutral	5	3.09%
			No Answer	3	1.85%
			Disagree	2	1.23%
			<b>Total</b>	<b>162</b>	<b>100%</b>

<b>4</b>	<b>Item 4</b>	D. I am concerned about constraints on my academic freedom in my teaching at UCSF.	Strongly Disagree	46	28.4%
			Disagree	54	33.33%
			Neutral	25	15.43%
			Not Applicable	11	6.79%
			Agree	20	12.35%
			Strongly Agree	5	3.09%
			No Answer	1	0.62%
			<b>Total</b>	<b>162</b>	<b>100%</b>

<b>5</b>	<b>Item 5</b>	E. I am concerned about constraints on my academic freedom in my research at UCSF.	Strongly Disagree	36	22.22%
			Neutral	28	17.28%
			Disagree	55	33.95%
			Strongly Agree	5	3.09%
			Agree	17	10.49%
			Not Applicable	20	12.35%
			No Answer	1	0.62%
			<b>Total</b>	<b>162</b>	<b>100%</b>

<b>6</b>	<b>Item 6</b>	2. How often did you have an academic freedom concern in the last five years?	A. No concerns	109	67.28%
			D. More than 10 times	6	3.7%
			No Answer	4	2.47%
			B. 1-3 times	36	22.22%
			C. 5-10 times	7	4.32%
			<b>Total</b>	<b>162</b>	<b>100%</b>

<b>7</b>	<b>Item 7</b>	3. Where or who would you go to address a concern about your academic freedom? [select all that apply]	A. Chair	77	35.98%
			D. Don't know	44	20.56%
			B. Fellow faculty member	65	30.37%
			C. Academic Senate	24	11.21%
			No Answer	4	1.87%
			<b>Total</b>	<b>214</b>	<b>100%</b>

8	Item 8	E. Other		
	No Answer		148	91.36%
	If very serious the Ombudsman		1	0.62%
	Chair, if Chair was not the problem. If Chair was the problem, then Dean and Senate.		1	0.62%
	In any place where there is not a true tenure track, academic freedom is severely compromised. This is the case in most clinical departments.		2	1.23%
	First i would discuss with close colleagues.		1	0.62%
	N/A		1	0.62%
	Depends on who seems to be the person/entity limiting academic freedom.		1	0.62%
	Academic freedom must be examined on several levels. Academic freedom does not exist in the current structure of academic medicine. The ability to stay in academic medicine (Soft money) requires obtaining grants, namely NIH grants. The NIH dictates funding priorities. As such, researchers are beholden to NIH funding priorities. This means that academic freedom does NOT exist in academic medicine. Unless funding is based on hard money, even though there's supposed freedom from UCSF, academic freedom does not exist in the current structure of academic medicine		1	0.62%
	it's actually hard to come up with someone who would be supportive and not biased. 'safe people' are a rare commodity. 'safe people who can effect change' are like a chupacabra.		1	0.62%
	I have been told on more than one occasion from my supervisors regarding being involved in outside professional teaching that "UCSF owns me" and I am not at my own personal liberty to accept invitations to teach, speak, or be interviewed by media		1	0.62%
	It is to some degree semantic to say we have academic freedom when what we study and don't study is governed by what we are funded to study.		1	0.62%
	Should be recognized that UCSF's emphasis on diversity and social justice, while laudable, can also be perceived as driving it's research and teaching agenda to such an extent that faculty may feel there is relatively little room or support to pursue issues not directly related to diversity and social justice.		1	0.62%
	Lawyers Program officers Funders		1	0.62%
	As I am a Chair, one of the choices, for Questions E3 should be the Dean.		1	0.62%
	<b>Total</b>		<b>162</b>	<b>100%</b>

9	Item 9	4. Please describe a		
	No Answer		131	80.86%

situation in which you felt you or your colleagues' academic freedom was infringed upon, and if/how it was addressed.

I have noticed there were researches and mentoring done below the standard. I concern my appointment and ranking status, I do not know where to address those to maintain the UCSF standard as high as we like.	1	0.62%
I am more worried about external (governmental) repression rather than internal UCSF repression.	1	0.62%
Administrative level (dean's office) proposed changes to curriculum, committees of the academic senate (educational policy, admissions) and key processes (admissions and student status) have been contemplated, including outsourcing work previously done by faculty. Administration should not tamper with the processes of academic Senate committees.	1	0.62%
I have occasionally gotten advice from mentors or other faculty about the wording of publications, etc., to avoid sounding political or commenting on policies, even though my research focuses on policy evaluation.	1	0.62%
I worry about freedom not because of censure from the university, but because of pressure to find funding and the difficulty in finding salary support to work on topics that may not be easily fundable. Given the state of funding currently, it feels that more researchers are bending their interests or compromising the research they would like to do to fit what can be funded. Constant pressure to find funding also limits the bandwidth that researchers have to thinking through what might be the most scientifically important or valid next step in a research program, instead pushing responsiveness to announced funding initiatives.	1	0.62%
I had concerns in an industry sponsored trial, and did not feel I had adequate support from UCSF.	1	0.62%
None.	1	0.62%
lots of new leadership from outside institutions trying to make committees function under their authoritarian rule instead of allowing dual governance. it's less in my teaching and more in my educational administrative responsibilities where i feel that academic freedom is being threatened quite significantly, most notably in the past year with the new leaders. all new leaders should go through a training that assures they understand dual governance and academic freedom of individual faculty and faculty as a collective.	1	0.62%
I was declined advancement for no apparent reason. I asked for a review. I asked for more teaching hours, 4 years in a row, and was not granted them, without any explanation.	1	0.62%
I guess it is not really academic freedom. However I am concerned that, if I complain too much about inequities at UCSF, which I have done, then my unit head and the Dean of SOM would probably just want to get rid of me.	1	0.62%
i submitted a paper and it was challenged by another investigator at another institution -- no basis , and eventually published in Science and Translation Medicine. The freedom issue was that my right tp publish was questioned by this person outside UCSF based on his prior work, which had been cited by us, but we used a novel different technique. I enlisted aid of legal and ethics here at UCSF who were great	1	0.62%



<p>We don't really have time or freedom to do much of anything else that we are interested. There is no time at all for participating in any other activities of interests, but heavy schedules of clinical and didactic teaching, patient care in both outpatient clinic and OR, administrative duties, and committee meetings. Even if campus has faculty development programs but there is no time to participate. Taking vacation is also a hassle because we would need to be responsible for seeking out for coverage, and when we are back we would need to reciprocate those clinical coverages using our administrative time. When combining the reciprocation of clinic coverage as pay back with our regular weekly assigned duties of teaching and patient care, it would wipe out the whole week or more (depending on how many days out for vacation) without having time to do anything else. I have accumulated 384 hrs of vacation time, but too difficult to take vacation. This policy needs to change from the university level to the department/division level. The policy of "clinic must always remain open" needs to be maintained; however, with too few faculty, how can this goal be achieved when faculty take vacations as they are entitled to do?</p>	1	0.62%
<p>Never encountered infringement of academic freedom in my 20+ years as a faculty member at UCSF.</p>	1	0.62%
<p>A student has expressed concern hearing that HRSA grants have limitations on what we teach re: certain vulnerable communities.</p>	1	0.62%
<p>I don't recall any at the moment.</p>	1	0.62%
<p>UCSF proscribes certain activities and funding for political correctness. For example, while I personally abhor the use of tobacco, the University has no right to tell me that I may not receive money from a tobacco company, which is a legitimate, legal business. So long as my actions are legal, the university has no right to mandate my ethics, any more than it may mandate my religion.</p>	1	0.62%
<p>N.A.</p>	1	0.62%
<p>I have been asked by the media to provide my expertise and knowledge on particular health issues but have had to decline only because I wasn't able to get a quick enough response from media relations in getting "UCSF approval" prior to speaking to news reporters or TV reporters and often the UCSF Media relation folks I speak to are not well versed on the issue in order to even give an "approval". Not being able to speak to media about important health issues in a timely manner and not allowing UCSF faculty to have professional judgement about how to discuss particular health issues is extremely frustrating.</p>	1	0.62%
<p>I have not been aware of any infringements. My concern as HS Clinical is that with "Academic Freedom", faculty can sometimes teach outdated, no longer relevant material to students. Faculty need to teach with an evidence-based approach and should quote from the resources they use. Additionally, "Academic Freedom" in teaching can lead to chaos: Different courses with different formats, different ways to hand in assignments, different kinds of grading systems, different requirements for either showing up and remaining for the whole lecture/teaching session or not. This creates a poor learning environment. IMO: teaching should be student centric, based on best learning practices and should not be based on the "Academic Freedom" desires of faculty.</p>	1	0.62%

For a national level pathology meeting held in San Francisco, I was advised to not present on a specific topic (even though that is my main strength) since another faculty member would like to maintain his/her superiority in that field. This advise was not from the organizers of this meeting but from a superior in my department. I followed that advise but was not happy about it. Finally, I decided to not let others infringe upon my academic freedom and have just decided to present/teach based on my level of interest and expertise.	1	0.62%
How I perceive a study should be performed is infringed on by the CHR because they think they know best how a study should be conducted and require changes to the study even though the study does not put patients at any form of risk what so ever.	1	0.62%
As long as department chairs wield absolute authority, there can be no academic freedom. Chairs should have finite terms, as they do in every other discipline outside of medicine. It is a fundamentally flawed and broken system, one which stifles innovation and creativity. Be a leader and change the system.	1	0.62%
As a resident, I wished to report a severe, previously-unreported adverse event associated with an experimental therapy but the scope of the report was limited by the contract between the PI and the industry sponsor. This occurred almost 30 years ago and the resolution was inadequate; I just ended up putting together the most complete report allowed.	1	0.62%
A federal funding agency who sponsored a research project had raised concerns of the the content of a manuscript as it dealt with immigrant health. They were concerned that a federal audit of sponsored projects under the most recent presidential administration might reveal that they sponsored a study of undocumented residents in the U.S.	1	0.62%
none	1	0.62%
N/A	1	0.62%
Article approved for publication that our professional organization had withheld for unspecified desired changes.Still unresolved 1 and a half years later.	1	0.62%
Political commentary that is relevant to health such as police and gun violence can be a touchy subject from the university standpoint though relevant for health.	1	0.62%
We are affected by the Trump administrations global gag rule on abortion and family planning funding restrictions. These results place our partners, who do good work, and their beneficiaries at harm.	1	0.62%
too much	1	0.62%
NA	1	0.62%
<b>Total</b>	<b>162</b>	<b>100%</b>