

**SAN FRANCISCO DIVISION OF THE ACADEMIC SENATE
COMMITTEE ON ACADEMIC PERSONNEL**

CONFLICT OF INTEREST POLICY

The Committee on Academic Personnel (CAP) makes recommendations to the Vice Provost, Academic Affairs on faculty file actions related to appointments, advancements, reviews, policy, and other matters:

Given CAP's purpose, service on the committee ("committee" refers to members as well as guests) can present situations where there are conflicts of interest (COI) for the committee member. Conflicts can arise because the committee member might be in the same unit (defined in this document as a Department, Division, Institute, or other academic group for which all members are assumed to having working relationships with most other members) as the faculty under review (FUR). Similarly, given the close academic community that exists at the University, the member may have had personal and/or professional relationships with the faculty under review. These relationships have the potential to bias, directly or indirectly, CAP's review. Additionally, the appearance of COI may undermine the integrity of CAP and the trust placed on it by the UCSF community.

CAP members must always keep this potential in mind and recuse themselves where a conflict of interest arises. Yet, because of the importance of the expertise and experience that each CAP member brings to committee deliberations, members should not recuse themselves unless it is warranted by the criteria indicated in this document.

Policy

File Review

There are occasional cases in which CAP members will recuse themselves, even if they are not voting members of the FUR's unit. Grounds for recusal should include any situation that would cause a reasonable person with all the relevant facts to call into question the CAP member's impartiality. Examples of cases in which a recusal is appropriate could include (but are not limited to) situations where a CAP member has close ties to the candidate:

- 1) The CAP member is a member of the same laboratory, office, or unit as the faculty member under review;
- 2) The CAP member has a direct and ongoing research collaboration with the faculty member under review;
- 3) The CAP member has a financial/business, familial, romantic, or other close personal relationship with the faculty member under review; or
- 4) The CAP member believes his or her recusal is necessary to preserve the real or perceived integrity of the committee's process.

Further, to maintain transparency, the CAP member should disclose to CAP any circumstances that could bear on the member's impartiality in judging a faculty member's academic personnel file, even if, in the member's judgment, the circumstances aren't sufficient to warrant recusal. If there is a question, CAP members should consult with the CAP Chair.

CAP members should avoid providing formal input on a file at more than one level of review. In most cases, CAP members should recuse themselves from discussing or voting on files at the Department level so that they can participate in discussions and voting at the CAP level. Similarly, CAP members should avoid providing guidance to Division Chiefs or Department Chairs regarding files that will appear before CAP. However, in certain circumstances (e.g., if the last month of service on a Department Promotions Committee overlaps with the first month of service on CAP), a CAP member may choose to participate in a Departmental level review. In this case, the CAP member should recuse themselves from discussing or voting on the file at the CAP level.

Prior to formal acceptance and investigation by CAP of any file for review at the start of an academic year (and as relevant at the start of any CAP meeting), the committee will raise the recusal policy and members can discuss the policy in relation to their continued participation. CAP will discuss, provide guidance, and determine as a whole whether any member should be asked to recuse themselves. A member's ultimate decision to recuse themselves will be automatically accepted by CAP.

If the implementation of this policy results in a number of CAP members that is less than required to establish a quorum and conduct business, the Academic Senate's Committee on Committees will be consulted and requested to appoint additional alternates.

Letters of Reference

During their tenure on CAP, CAP members should avoid providing internal letters of reference for their UCSF colleagues' advancement and promotion packets. An exception may be granted if a CAP member is the only possible source of important information for a candidate, but the CAP member should necessarily be recused from all CAP deliberations concerning the candidate. Additionally, CAP may review a letter written prior to a CAP member's tenure on CAP, but the CAP member should be recused from all CAP deliberations.

Advisory Panels

CAP members should avoid participating on panels advising faculty about academic review (e.g., at Faculty Development Day) during their tenure on CAP. However, CAP members may participate on such panels once their tenure on CAP has been completed (and are strongly encouraged to do so).

I have read the attached conflict of interest policy of the Committee on Academic Personnel and agree to its terms.

NAME

DATE