

## **Guiding Principles, Policies, and Standards Regarding Conflict of Interest on Faculty Recruitment Committees**

### Guiding Principles and Policies

The quality of the faculty of the University of California is maintained primarily through “objective and thorough appraisal, by competent faculty members, of each candidate for appointment or promotion.” (APM 210-1.a.). Although the instructions for review committees given in APM 210 do not explicitly address conflicts of interest for committee members, policy does clearly indicate that it is the right of every faculty member “to be judged by one’s colleagues, in accordance with fair procedures and due process... solely on the basis of the faculty members’ professional qualifications and professional conduct.” (APM 015 Part I.6.)

### Standards

In searching for qualified candidates for new or vacant positions in a department, faculty serving on a recruitment committee, or otherwise engaged in the recruitment, selection and review of candidates, shall make every effort to ensure that any significant personal, academic or professional relationships they may have with a candidate do not interfere with the objective evaluation of all potential candidates or create a perception that evaluation was not objective.

Examples of situations that might create either a real or perceived conflict of interest for a member of a recruitment committee include, but are not limited to, the review of candidates who are current or former students, postdocs, mentees, co-authors, close collaborators or partners in a business or professional practice. Other situations may involve review of a candidate who has or has had in the past, a significant personal relationship with the faculty member, either positive or negative, that might impact the ability of the faculty member to participate objectively in the comparison of the qualifications of that candidate with those of other candidates.

In such situations, it is the obligation of the faculty member to disclose the nature and extent of the personal or professional relationship, and engage in a discussion as appropriate with the recruitment committee, the chair of the recruitment committee, or the chair of the department regarding the nature of the potential conflict of interest and his or her continued participation in the recruitment. Failure to disclose such conflicts of interest may result in the search being failed. Depending on the nature of the relationship, and based on discussion with the recruitment committee chair, the faculty member may:

1. Voluntarily recuse him or herself from participation on the recruitment committee or in the review and selection process;
2. Voluntarily recuse him or herself from discussion and/or voting on the particular candidate with whom there is a potential real or perceived conflict of interest;
3. Continue to serve on the committee and in the review/selection process, but with full disclosure of the relationship to the committee and, if the candidate is on the Short List, to the department; The concurrence of the committee and chair for continuing service is mandatory.

When the recommended Shortlist Report includes a candidate with a significant personal, academic, or professional relationship with one or more members of the recruitment committee or other faculty members actively engaged in the review and selection process, this fact shall be communicated by the committee chair to the Dean and to the Vice Provost--Academic Affairs, using the attached form, at the same time that the Shortlist Report is being forwarded for approval.

**UC Davis Faculty Recruitment Committee— Potential Conflict of Interest Disclosure.**  
**To be completed by the Recruitment Committee Chair and provided to the department for inclusion in UC Davis RECRUIT.**

UC Davis Recruitment ID#: \_\_\_\_\_ Position rank (mark all that apply):

Department: \_\_\_\_\_ Assistant / Associate / Full

Position Title: \_\_\_\_\_

Please answer the following questions:

**A.** To your knowledge, were there any potential conflicts of interest (PCOIs) between the members of the recruitment committee (RC) and any applicants who were evaluated by the committee members?

\_\_\_\_\_ No, I know of no such conflicts. (If this is the case, please proceed to part **D.** of this document.)

\_\_\_\_\_ Yes, some conflicts were disclosed during recruitment deliberations, and were addressed in the following ways. (Please check all that apply below, and provide any additional comments you wish to make in the text box at the end of Part **C** of this document.)

\_\_\_\_\_ (1) The RC member disclosed the PCOI to me before review of applications began or early in the application review process.

\_\_\_\_\_ (2) The RC member recused him or herself from participation on the search committee or in the review and selection process.

\_\_\_\_\_ (3) The RC member recused him or herself from discussion and/or voting on the particular candidate with whom there is a potential conflict of interest.

\_\_\_\_\_ (4) The RC member continued to serve on the committee and in the review/selection process, but with full disclosure of the relationship to the committee.

**B.** To your knowledge, were there any potential conflicts of interest (PCOI) between the members of the recruitment committee (RC) and any applicants *who were selected to be interviewed* for the position?

\_\_\_\_\_ No, I know of no such conflicts. (If this is the case, please proceed to part **D.** of this document.)

\_\_\_\_\_ Yes, there were some PCOIs between recruitment committee members and applicants advanced to the interview process. The potential impacts of these relationships were addressed in the following ways. (Please check all that apply and complete the table provided in Part **C** of this document.)

\_\_\_\_\_ (1) The PCOIs were fully disclosed to the department before the proposed interview list was finalized.

\_\_\_\_\_ (2) The RC member recused him or herself from discussion and/or voting on the interview list.

\_\_\_\_\_ (3) The RC member recused him or herself from discussion and/or voting on the particular candidate with whom there is a potential real or perceived conflict of interest.

C. If you answered yes to any of the questions in part B. above, please provide the information about the faculty member(s) and candidate(s) below:

Recruitment Committee member	Candidate to be interviewed	PCOI relationship – brief description (see standards)	How PCOI addressed (A1-4 above) (B1-3 above)

If you have any concerns about PCOIs during this process, or wish to provide more explanation for how PCOIs were managed in this recruitment, please feel free to elaborate below.

D. Respectfully submitted,

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Printed name: \_\_\_\_\_

Chair of the Recruitment Committee

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Printed name: \_\_\_\_\_

Vice or Co-Chair of the Recruitment Committee

*\* required if the Chair has a conflict of interest*

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Printed name: \_\_\_\_\_

Chair of the Department

*\* required if the Chair and Vice or Co-Chair have conflicts of interest*