

Santa Clara University
Ciocca Center Faculty Advisory Board
Conflict of Interest Policy

Dated April 5, 2020

1. Purpose. The purpose of this conflict of interest (COI) policy is to ensure fair and impartial deployment of Ciocca Center (CC) gift funding to individuals, departments, schools, and programs (each a “recipient”) at Santa Clara University, and to maintain the principles of academic freedom in the use of CC funding for research, teaching, faculty development, and curriculum enhancement (“academic purposes”).
2. Scope. The Ciocca Center Faculty Advisory Board (CCFAB) is responsible for overseeing the review of proposals to the CC for using gift funds for academic purposes; final decisions for funding are made by the Provost, in consultation with the CC Faculty Director and in consideration of the products of the review process. For clarity, the CCFAB is not responsible for deploying CC gift funds used to hire new faculty members. All references to the CCFAB shall include the CC Faculty Director and the faculty appointees to the CCFAB, but not include staff such as the CC Executive Director.
3. Procedure for Deployment of CC Gift Funds. The CCFAB, under direction of the CC Faculty Director, oversees the review of proposals based on documented review guidelines for each academic program, to include research projects, curricular development projects, and faculty development projects. The general review framework for each of these programs includes the following procedures:
 - a. The CCFAB creates a request for proposal (RFP) which is distributed to faculty and posted on the CC web site.
 - b. The CCFAB creates a review guidelines document for each program, outlining the review criteria, criteria rubrics, and overall rating process for evaluating proposals for each RFP.
 - c. The CC Faculty Director creates a review committee to evaluate the RFPs. The review committee may consist of CCFAB members (“CCFAB Reviewers”), and may include other SCU faculty members and/or staff as the CC Faculty Director deems appropriate. Any faculty/staff who propose or are an integral part of any proposal may not serve on the review committee.
 - d. The review committee members evaluate proposals according to the applicable review guidelines, and their feedback and comments are documented and collected. Review committee members must disclose whether they have a COI for each individual proposal, as described in Section 4. If such a COI exists, they may evaluate the proposals for each review criteria, but they may not participate in any collective process for providing an overall rating for that proposal.
 - e. At a meeting of the CCFAB, the CCFAB will consider the reviews provided by the review committee. On a proposal by proposal basis, the CCFAB will

vote to ratify (or not) the evaluation of the review committee and will record the results of that vote along with any additional considerations or opinions. CCFAB members must disclose whether they have a COI for each individual proposal, as described in Section 4. If such a COI exists, they may participate in the discussion of each proposal and its review, but they may not participate in the collective process for ratifying (or not) that proposal. Any CCFAB members who have proposed or are an integral part of any proposal may not participate at all in this process. A quorum must exist for each individual proposal-specific vote and shall require at least 50% of the non-conflicted CCFAB members.

- f. The CC Faculty Director will review the results of the review committee and the CCFAB ratification process with the Provost. The Provost will make all final award decisions.
 - g. The CC Faculty Director will work with CC staff and the Sponsored Projects Office to administer individual awards.
4. Conflicts of Interest.
- a. Definitions of Conflicts. The following will be considered a conflict of interest (COI) under this policy. Each of the below scenarios (i - vii) shall equally apply to define a COI with respect to a review committee member, in which case "CCFAB member" shall be replaced with "review committee member."
 - i. The proposed recipient is the CCFAB member.
 - ii. The proposed recipient is or is in the same department as the CCFAB member, if the CCFAB member is not in the School of Law.
 - iii. If the CCFAB member is in the School of Law, the proposed recipient is or is in the School of Law.
 - iv. The CCFAB member or the member's family would be involved, directly or indirectly, in the activities set forth in the particular proposal.
 - v. The CCFAB member or the member's family would benefit financially from the acceptance of the particular proposal.
 - vi. The CCFAB member has a relationship with an individual that would be affected by the acceptance of the particular proposal, if such relationship would interfere with the CCFAB members' ability to be impartial with respect to the acceptance of the proposal or the use of gift funding. For example but without limitation, such relationships could include: mentor relationship, advisor relationship, familial relationship, romantic relationship, spousal relationship, employment relationship, or contractual relationship.
 - vii. The CCFAB member has received any financial or other benefit from the source of the gift funds, or has an expectation that the member would receive financial or other benefit from the source of the gift funds based upon such members' vote on a decision of the CCFAB.

- b. Review of Proposals.
 - i. No review committee member who has submitted a proposal or who is an integral participant under any of the proposals may serve on the review committee.
 - ii. No CCFAB member who has submitted a proposal or who is an integral participant under any of the proposals may participate in the ratification process for program proposals.
 - iii. Despite the existence of a COI, all CCFAB members and review committee members may review those proposals and provide input to discussions involving those proposals, provided that at the time of providing written or oral feedback, such individual shall disclose the circumstances of the COI to the other review committee members.
- c. Voting.
 - i. Review Committee. Review committee members with a COI as defined in Section 4(a) will abstain from any vote of the review committee to assign an overall evaluation/rating for a particular proposal.
 - ii. CCFAB. CCFAB members with a COI as defined in Section 4(a) will abstain from any vote of the CCFAB to ratify or not the results from the review committee, where such vote involves a COI.