

CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES

(Revised 4/23)

General information

APM 025 provides specific guidelines concerning potential conflicts of commitment that may arise when faculty participate in outside professional activity, both compensated and uncompensated. While there is great value in activities outside the University that advance and communicate knowledge, it is important that these activities not conflict with the faculty member's primary responsibility to the University.

Faculty members holding the following titles are subject to APM 025:

- Assistant Professor, Associate Professor, Professor
- The above titles when used with an Acting or Adjunct pre-fix
- Lecturer PSOE, Lecturer SOE, Senior Lecturer SOE

In addition, administrative officers including deans and faculty administrators who hold appointments in any of the above titles are subject to APM-025, regardless of the current percent of time in the academic appointment.

A full-time faculty member on a nine-month appointment may not engage in outside professional activity for more than 39 days during the academic year. The 39-day limitation does not apply during periods of leave without pay, however prior approval of Category I activity and reporting of Category I and II activity are still required. Faculty on approved sabbatical or other leaves with pay are subject to disclosure, prior approval, and annual reporting requirements regardless of the funding source for salary.

Summer Months

There are no restrictions on the number of days of Category I and II activity for academic-year faculty during the summer months except during periods when receiving additional University compensation (i.e. Summer Session teaching or research compensation). The time limit on compensated and uncompensated outside professional activities is the equivalent of one day per week during the period in which University summer compensation is received.

Categories Of Outside Professional Activity

Three categories of outside activity have been defined, in terms of the extent to which they may raise a conflict of commitment. See APM-025 for a complete explanation of activities.

Category I activities are likely on their face to raise issues of conflict of commitment. Such activities are **not allowed without prior approval** from the Chancellor or designee, and when approved are subject to the 39-day limit, and must be reported on an annual basis. Prior approval is required even if the activity will take place during a period of leave without pay. Category I activities include current or pending acceptance of an honorary, visiting, adjunct, or other institutional appointment (either compensated or uncompensated) at an outside institution, or participation in or application to talent recruitment programs sponsored by a government agency of a nation other than the United States. Category I activities include but are not limited to:

- Teaching, research, or administration of a grant at an educational institution, trust, organization, government agency, foundation, or other entity outside of the University;
- Employment outside of the University
- Assuming an executive or managerial position in a for-profit or not-for-profit business.
- Assuming a founding or a co-founding role of a company.
- Other professional activity that common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Category II activities are typically shorter-term outside professional activities which have less potential to raise issues of conflict of commitment. They are allowed without prior approval up to the 39-day limit and must be reported on an annual basis. Such activities include but are not limited to:

- Teaching for Professional and Continuing Education (PaCE), or teaching for other continuing education programs run by the University, and self-supporting UC degree programs.
- Consulting or testifying as an expert or professional witness.
- Providing consulting services or engaging in professional practice as an individual, single- member professional corporation or sole proprietorship.
- Serving on the board of directors of an outside entity.
- Providing or presenting a workshop for industry.
- Providing outside consulting or compensated professional activities performed for entities such as the Los Alamos and Lawrence Livermore National Laboratories (exception for Board of Governors- see APM 025).
- Other outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

Category III activities are accepted as part of a faculty member's scholarly and creative work. Even if compensated they are allowed, and do not count towards the 39-day limit. Category III activities do not need prior approval except when the activity involves students (see APM 025-8-d). They must be reported annually by deans and faculty administrators whether compensated or uncompensated (see APM 240-20-c and APM-246-20-c). Category III activities include but are not limited to:

- Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society.
- Acting as a reviewer or editor for journal or book manuscripts.
- Attending and presenting talks at university/academic colloquia and conferences.
- Participating in or accepting a commission for an artistic performance or event not sponsored by the University other than activities under Category I.
- Developing scholarly communications, even when such activities result in financial gain.
- Accepting honoraria (other than those received for Category II activities) and prizes.

Prior approval requirements

Request for approval to: (1) engage in Category I activities, or (2) involve a graduate student in outside professional activity (see the campus [Policy on Conflict of Interest in Graduate Education](#) for guidelines for such activity) should be submitted in advance to the Department Chair by **June 30** for the upcoming academic year, or as soon as identified. Requests **must** be approved prior to engaging in the activity and are submitted via OATS which may be accessed through the Academic Personnel website or directly at <https://ucsb.ucoats.org/>. The Department Chair will review the request within the context of departmental teaching demands, sabbatical leaves, other leaves, etc., and endorse or deny each request. The request will then be forwarded to the appropriate Dean for approval.

Reporting requirements

Faculty must file an annual APM 025 report for the prior fiscal year in the systemwide Outside Activities Tracking System (OATS), once functionality is made available in early July of each year. The annual report period is from July 1st to June 30th. Faculty undergoing advancement review must complete their reporting by September 15 of the calendar year. All other

faculty must complete certification by October 31 annually. Faculty may access OATS via the Academic Personnel website or directly at <https://ucsb.ucoats.org/>. The Chair must review and approve each report. The Dean will review and approve the report of the Chair. The reports are considered to be non-confidential in nature and are subject to public inspection.