UC DAVIS COMPLIANCE OVERVIEW

New Chair Orientation
September 22, 2014

Wendi Delmendo
Chief Compliance Officer
University Regulatory Environment

- Universities are subject to an alphabet soup of regulations
- Impacts nearly all operations at UC Davis
- Direct effect on faculty teaching and research
Whistleblower Policy

• UC policy, based on California law, that governs reporting and investigation of suspected improper governmental activities

• IGA = any activity by an employee that:
  • Violates the law
  • Is “economically wasteful, or involves gross misconduct, incompetency, or inefficiency”
  • Generally, misuse of University resources

• Filing reports
  • Directly with University official
  • On-line:
  • Through UC Hotline: (800) 403-4744
Improper Governmental Activities – The Real Loss

Productivity
Morale
Investigative Leave
Investigation
Disciplinary Action
Grievances
Lawsuits
Recruitment
Training
Funding / Gifts

$ Small Loss $
What to do

• Take it seriously
• Report to Locally Designated Official
  • Wendi Delmendo, wjdelmendo@ucdavis.edu, 752-9466
• Consult with appropriate resources
  • Academic Affairs
  • Human Resources
  • Internal Audit Services
  • Others
• Ensure action is taken after consultation
• Confirm conversations in writing
• Monitor for possible retaliation against reporter
What not to do

• Don’t dismiss allegations as frivolous
• Don’t try to handle this on your own
• Don’t conduct your own investigation
• Don’t question employees who are suspected of improprieties
• Don’t unnecessarily communicate to faculty and staff about allegations
• Don’t allow retaliatory situations to develop
Research Misconduct

- Fabrication, falsification or plagiarism in proposing, performing or reviewing research or in reporting research results
- Handled by Office of Research under PPM 220-05
  - Preliminary assessment
  - Inquiry
  - Investigation
- Requirement to sequester evidence
- Chair’s role in sequestration process
Mandatory Training

- Sexual Harassment Prevention
  - Within first 90 days of hire
  - Every 2 years based on anniversary date

- General Ethics
  - Salary support all from general funds
  - Every 2 years

- Conflict of Interest for Researchers
  - Any salary support from external funds
  - Every 2 years

- Specific topics based on research interests
Contact information

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