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
UC Davis Compliance Structure
Compliance and Policy Unit

• Complaint processes
  • Sexual harassment/sexual violence
  • Discrimination/harassment/hate & bias
  • Whistleblower/whistleblower retaliation
  • Police misconduct

• Compliance programs
  • Title IX compliance
  • ADA compliance
  • Clery Act compliance
  • Affirmative Action compliance
  • Privacy
  • Policy coordination

• Campus-wide compliance coordination
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”
  - Misuse of University resources
- Filing reports
  - Directly with University official
  - 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
Mandatory Training

- Sexual Harassment/Sexual Violence Prevention
  - All employees
  - Within first 90 days of hire
  - Frequency??

- 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

Wendi Delmendo
Chief Compliance Officer
wjdelmendo@ucdavis.edu
752-9466