

# UC DAVIS COMPLIANCE OVERVIEW

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New Chair Orientation  
September 22, 2014

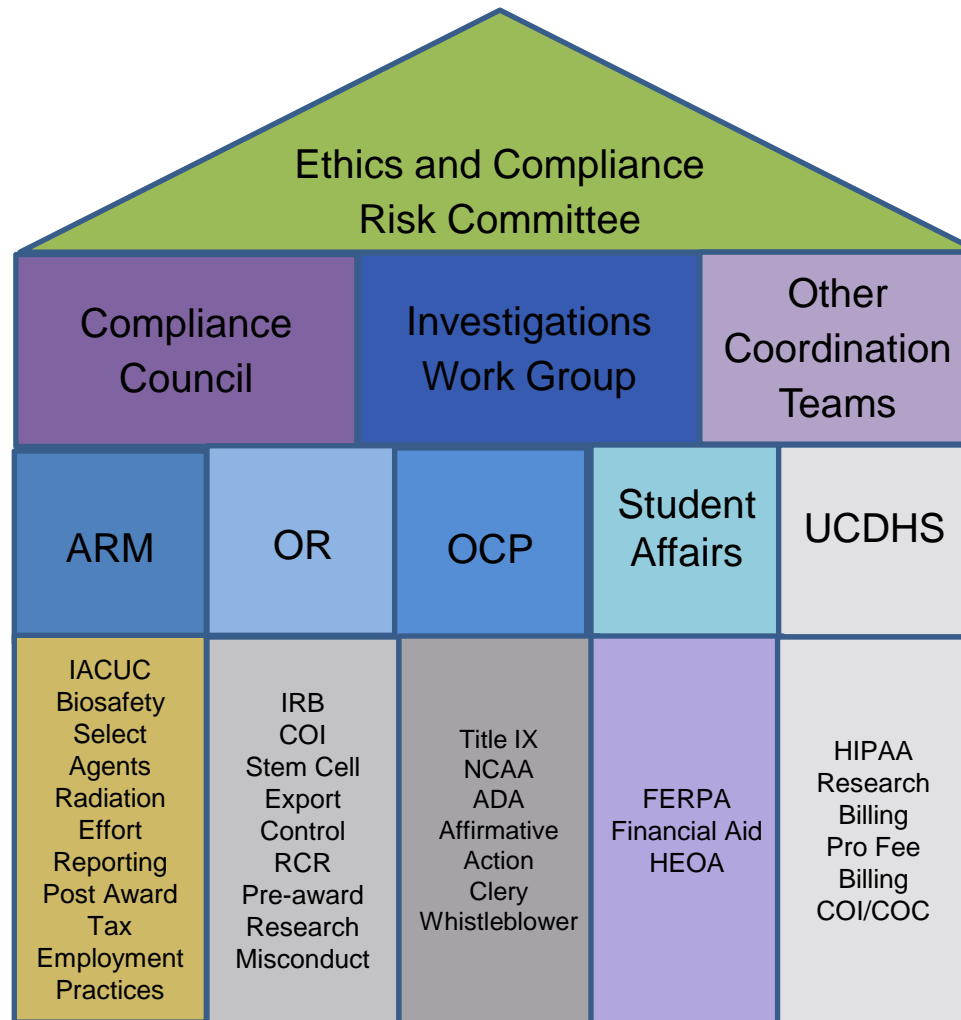


Wendi Delmendo  
Chief Compliance Officer

# 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

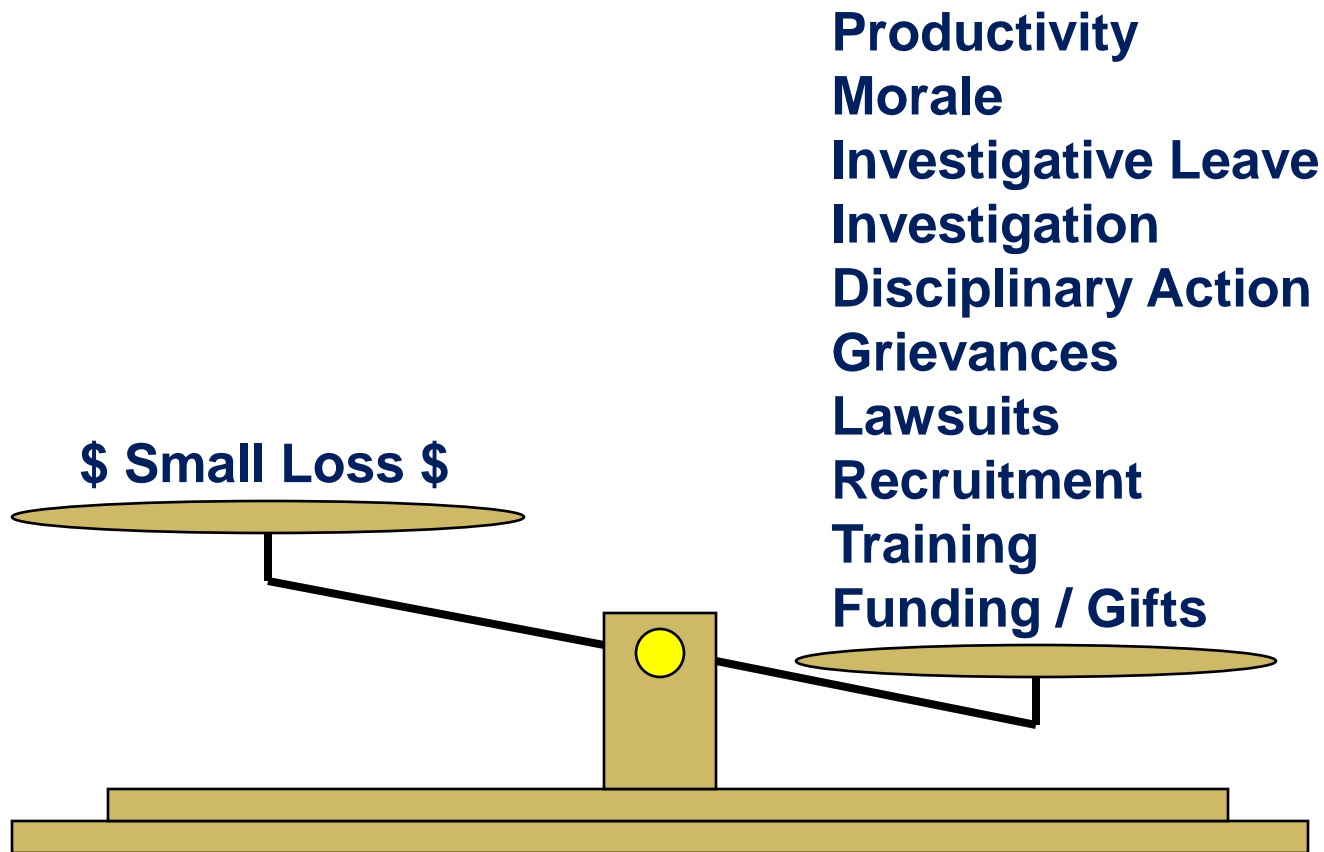
# UC Davis Compliance Structure



# 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:  
<https://secure.ethicspoint.com/domain/media/en/gui/23531/index.html>
  - Through UC Hotline: (800) 403-4744

# Improper Governmental Activities – The Real Loss



# What to do

- Take it seriously
- Report to Locally Designated Official
  - Wendi Delmendo, [wjdelmendo@ucdavis.edu](mailto: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

Wendi Delmendo

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