



UC DAVIS COMPLIANCE OVERVIEW

NEW CHAIR ORIENTATION

SEPTEMBER 20, 2017

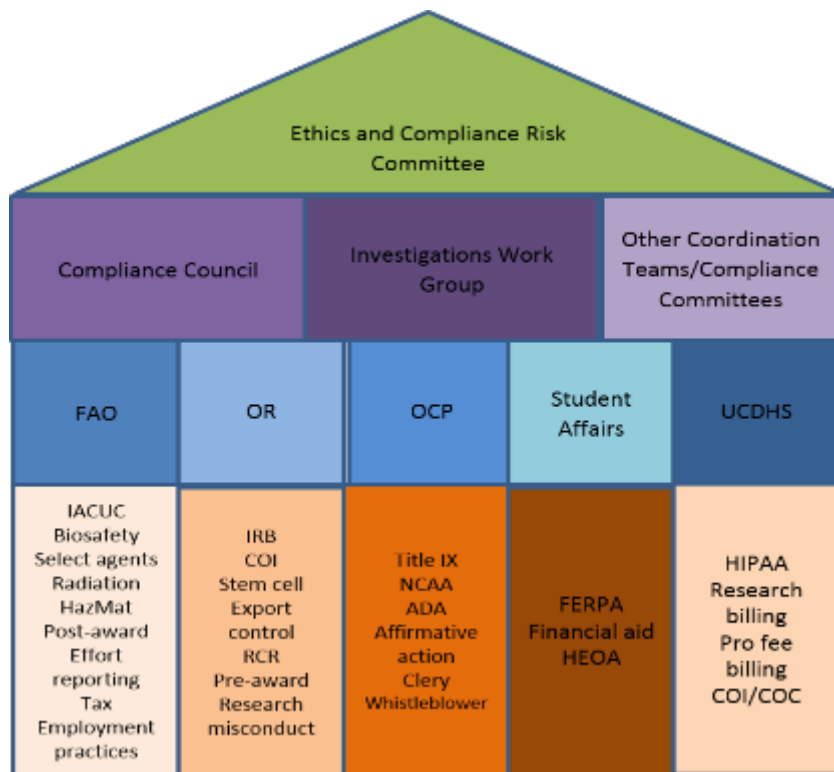
WENDI DELMENDO
CHIEF COMPLIANCE OFFICER

UCDAVIS

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



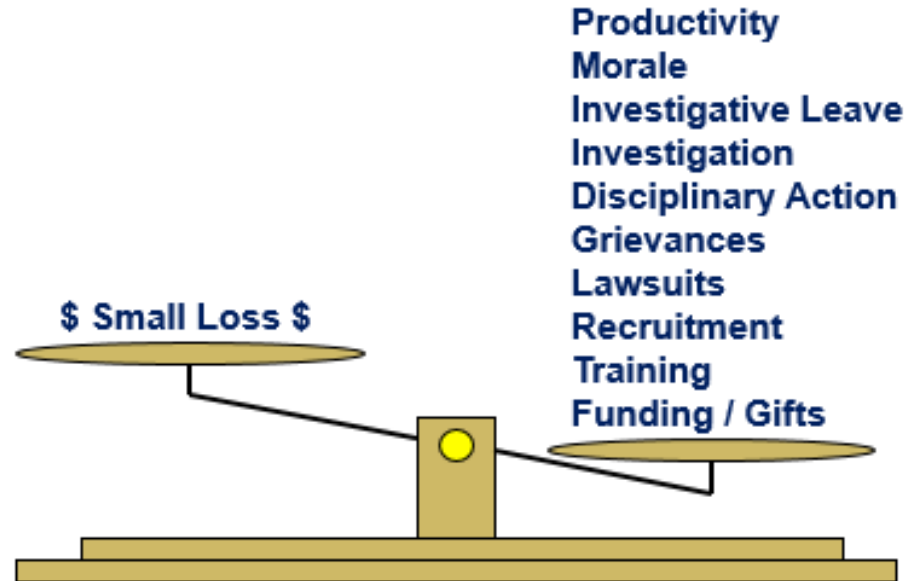
Compliance and Policy Unit

- 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)
- 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
 - 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, 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
 - Process mandated by law/policy
 - Preliminary assessment
 - Inquiry
 - Investigation
- Requirement to sequester evidence
- Contact: Craig Allison, Director of Research Compliance, (530) 752-2454, ccallison@ucdavis.edu

Mandatory Training

- Sexual Harassment/Sexual Violence Prevention
 - All employees
 - Within first 90 days of hire, every two years thereafter
- Cybersecurity
 - All employees
 - Annually
- General Ethics
 - Employees who receive salary support all from general funds
 - Every 2 years
- Conflict of Interest for Researchers
 - Employees who receive any salary support from external funds
 - Every 2 years
- Specific topics based on research interests

Contact Information

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