

General Compliance Briefing:
University of California Ethical Values and Conduct (2018)

Course Description:

This briefing is designed to raise continued awareness of the University of California Statement of Ethical Values and Standards of Ethical Conduct, and to convey University employment obligations with respect to ethical and compliant behavior. The purpose is not to teach University policy or ethics but to familiarize UC employees with important ethics and compliance information, issues and resources.

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1.1 University of California Ethical Values and Conduct



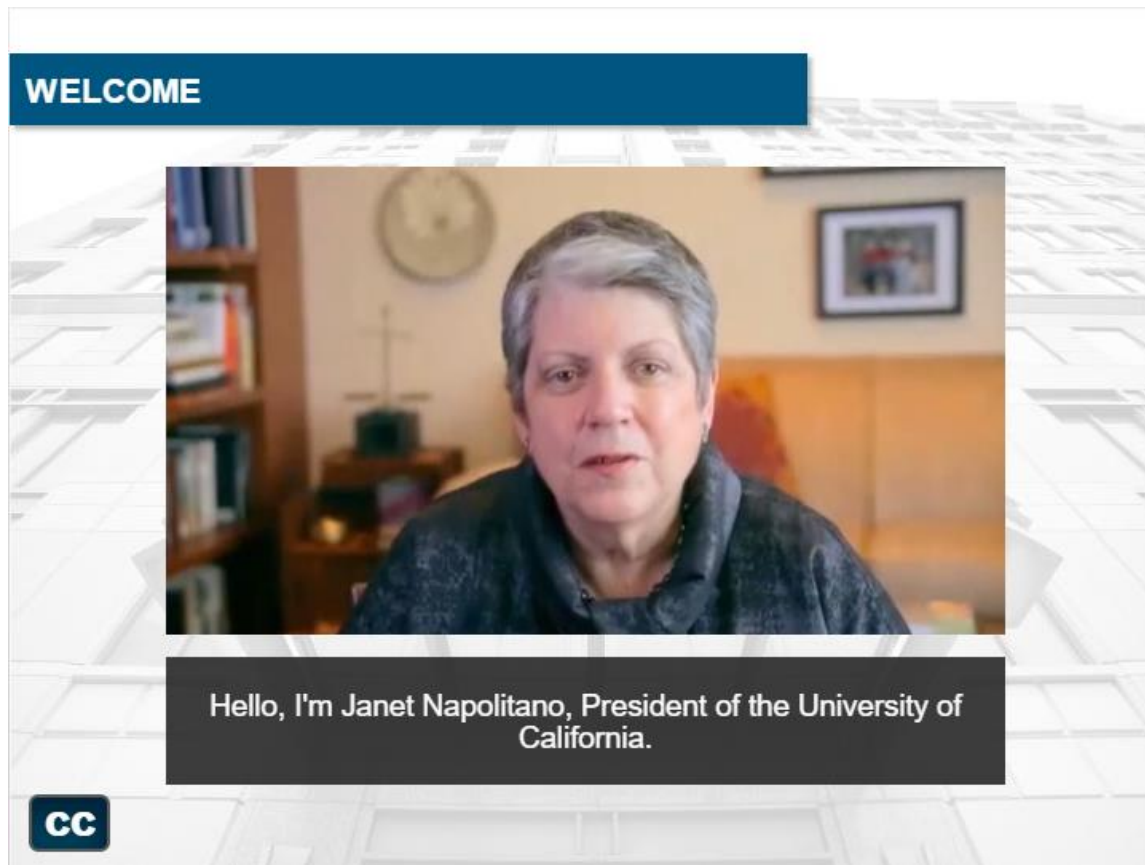
GENERAL COMPLIANCE BRIEFING

University of California

Ethical Values and Conduct

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1.2 Welcome



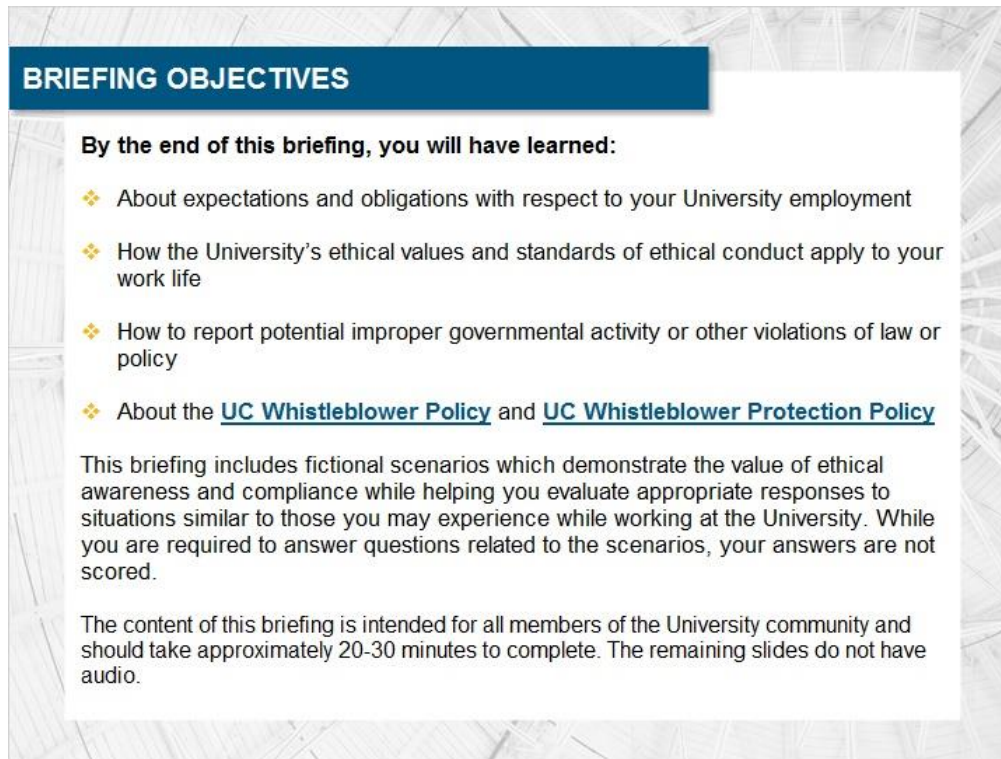
Welcome Video: President Napolitano

Hello, I'm Janet Napolitano, President of the University of California. As a public institution serving and supported by the people of this great state, every member of the UC community has a responsibility to conduct themselves in accord with the highest ethical standards.

Although laws, rules, and regulations help to define appropriate behavior, our ethics and compliance program helps us to apply the rules to particular situations and to make sure we hold ourselves to the highest standards. Support for our community in doing the right thing is offered through ethics and compliance training and education such as this program.

This education is an important reminder that we must conduct ourselves ethically at all times and is aimed at helping you make good judgements in your daily work. I hope you find it informative. Thank you, and thank you for your service to the University and to the people of California.

1.3 Briefing Objectives



BRIEFING OBJECTIVES

By the end of this briefing, you will have learned:

- ❖ About expectations and obligations with respect to your University employment
- ❖ How the University's ethical values and standards of ethical conduct apply to your work life
- ❖ How to report potential improper governmental activity or other violations of law or policy
- ❖ About the [UC Whistleblower Policy](#) and [UC Whistleblower Protection Policy](#)

This briefing includes fictional scenarios which demonstrate the value of ethical awareness and compliance while helping you evaluate appropriate responses to situations similar to those you may experience while working at the University. While you are required to answer questions related to the scenarios, your answers are not scored.

The content of this briefing is intended for all members of the University community and should take approximately 20-30 minutes to complete. The remaining slides do not have audio.

BRIEFING OBJECTIVES

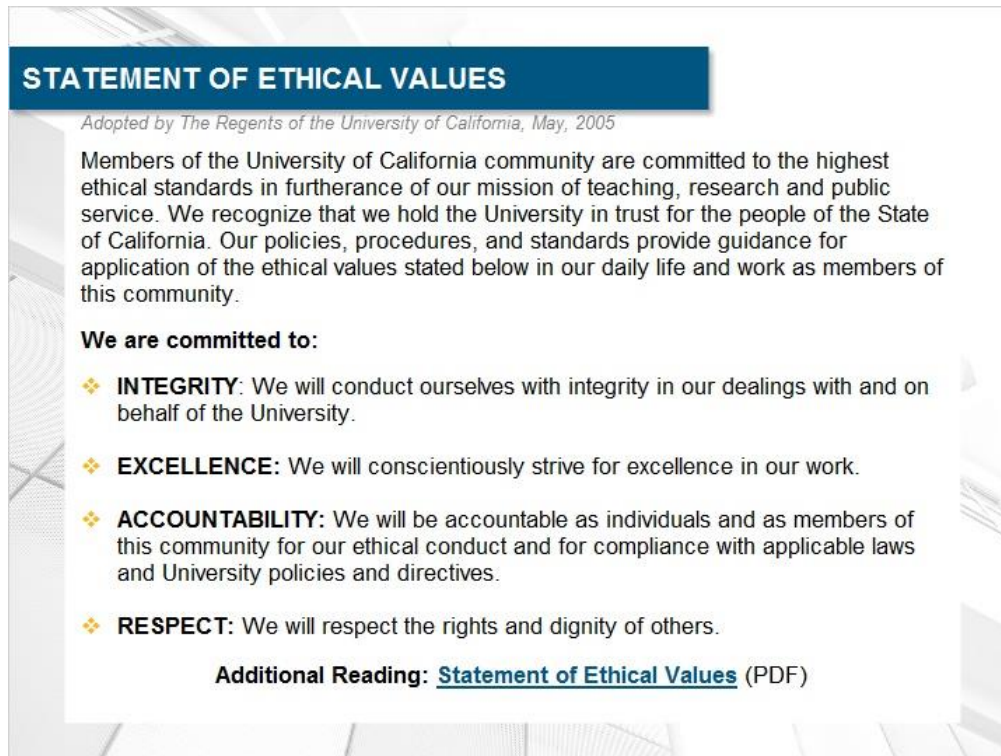
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1.4 Statement of Ethical Values



STATEMENT OF ETHICAL VALUES

Adopted by The Regents of the University of California, May, 2005

Members of the University of California community are committed to the highest ethical standards in furtherance of our mission of teaching, research and public service. We recognize that we hold the University in trust for the people of the State of California. Our policies, procedures, and standards provide guidance for application of the ethical values stated below in our daily life and work as members of this community.

We are committed to:

- ❖ **INTEGRITY:** We will conduct ourselves with integrity in our dealings with and on behalf of the University.
- ❖ **EXCELLENCE:** We will conscientiously strive for excellence in our work.
- ❖ **ACCOUNTABILITY:** We will be accountable as individuals and as members of this community for our ethical conduct and for compliance with applicable laws and University policies and directives.
- ❖ **RESPECT:** We will respect the rights and dignity of others.

Additional Reading: [Statement of Ethical Values](#) (PDF)

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Additional Reading: [Statement of Ethical Values](#) (PDF)

1.5 Standards of Ethical Conduct

STANDARDS OF ETHICAL CONDUCT (PART 1)

Adopted by The Regents of the University of California, May, 2005

All members of the University community, including The Regents, Officers of The Regents, faculty and other academic personnel, staff, students, volunteers, contractors, agents and others associated with the University are expected to abide by these *Standards of Ethical Conduct*:

1. Fair Dealing
2. Individual Responsibility and Accountability
3. Respect for Others
4. Compliance with Applicable Laws and Regulations
5. Compliance with Applicable University Policies, Procedures and Other Forms of Guidance
6. Conflicts of Interest or Commitment
7. Ethical Conduct of Research
8. Records: Confidentiality/Privacy and Access
9. Internal Controls
10. Use of University Resources
11. Financial Reporting
12. Reporting Violations and Protection from Retaliation

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1.6 Standards of Ethical Conduct

STANDARDS OF ETHICAL CONDUCT (PART 2)

Pursuit of the University of California mission of teaching, research and public service requires a commitment to ethical conduct by all. The *Standards of Ethical Conduct* reflect our belief in ethical, legal and professional behavior in all of our dealings inside and outside the University.

Additional Reading: [Standards of Ethical Conduct](#)



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Additional Reading: [Standards of Ethical Conduct](#)

1.7 Your Employment Obligations

YOUR EMPLOYMENT OBLIGATIONS

As an employee of the University of California, it is important that you:

- ❖ Know the applicable laws, regulations and policies that affect your employment responsibilities
- ❖ Understand the *Statement of Ethical Values and Standards of Ethical Conduct* and University policies and procedures related to your employment responsibilities
- ❖ Ensure your actions are consistent with the *Statement of Ethical Values and Standards of Ethical Conduct*
- ❖ Report potential improper governmental activity or other violations of law or policy
- ❖ Understand your rights and responsibilities under the [UC Whistleblower Policy](#) and [UC Whistleblower Protection Policy](#)

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1.8 Ethics and Compliance at the University



ETHICS AND COMPLIANCE AT THE UNIVERSITY

Principles & Practices:

Ethics and compliance are not new to the University of California. Many University locations, divisions and the faculty already have longstanding ethical codes of their own, as well as "Principles of Community" addressing our shared commitment to respect each others' roles, diverse backgrounds and personal responsibilities. Ethical and compliant practices are core to the University and its mission of teaching, research and public service.

The purpose of this briefing is to raise continued awareness of University's *Statement of Ethical Values* and *Standards of Ethical Conduct* and to convey University employment obligations with respect to ethical and compliant behavior. The purpose is not to teach University policy but to familiarize University employees with important ethics and compliance information, issues and resources.

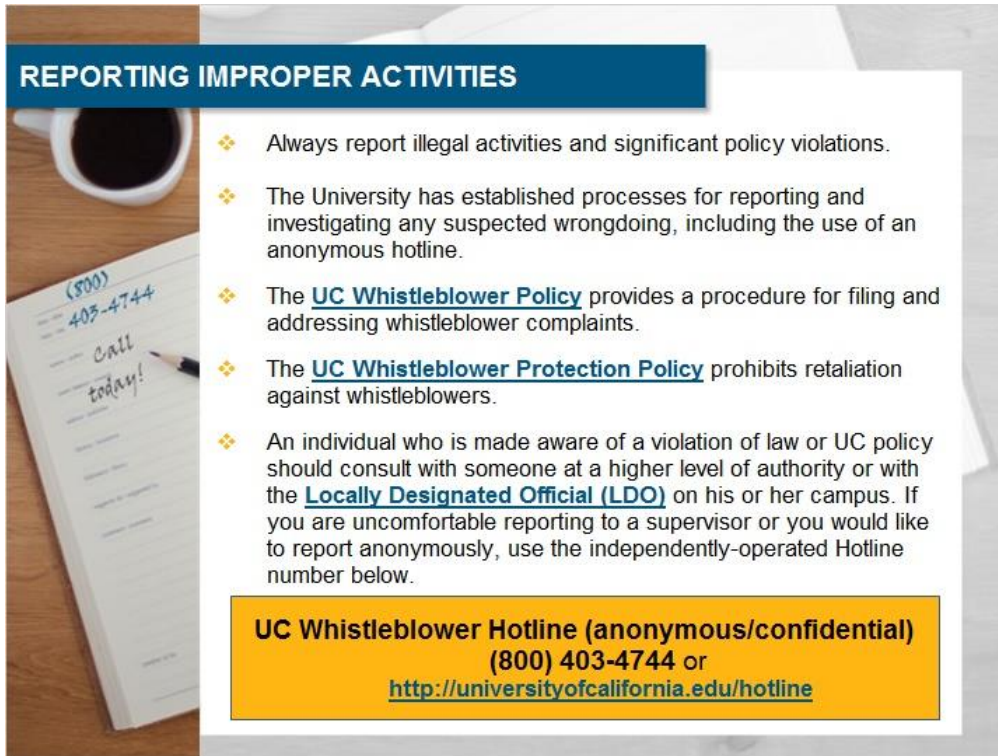
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1.9 Reporting Improper Activities



REPORTING IMPROPER ACTIVITIES

- ❖ Always report illegal activities and significant policy violations.
- ❖ The University has established processes for reporting and investigating any suspected wrongdoing, including the use of an anonymous hotline.
- ❖ The [UC Whistleblower Policy](#) provides a procedure for filing and addressing whistleblower complaints.
- ❖ The [UC Whistleblower Protection Policy](#) prohibits retaliation against whistleblowers.
- ❖ An individual who is made aware of a violation of law or UC policy should consult with someone at a higher level of authority or with the [Locally Designated Official \(LDO\)](#) on his or her campus. If you are uncomfortable reporting to a supervisor or you would like to report anonymously, use the independently-operated Hotline number below.

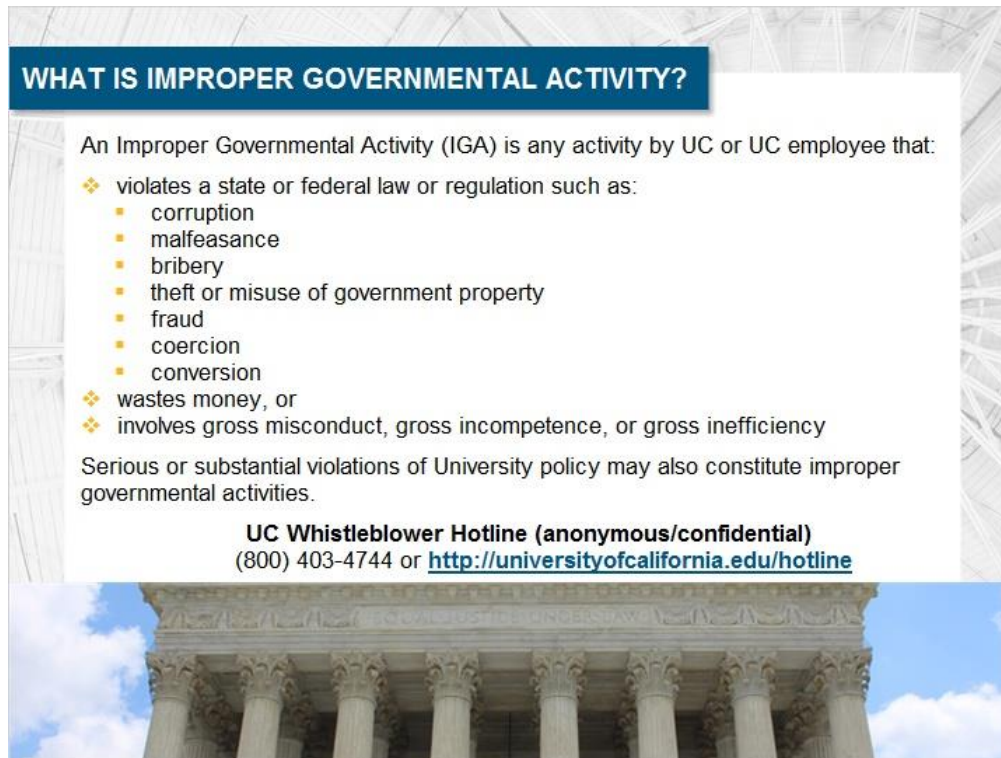
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1.10 What is Improper Governmental Activity?



WHAT IS IMPROPER GOVERNMENTAL ACTIVITY?

An Improper Governmental Activity (IGA) is any activity by UC or UC employee that:

- ❖ violates a state or federal law or regulation such as:
 - corruption
 - malfeasance
 - bribery
 - theft or misuse of government property
 - fraud
 - coercion
 - conversion
- ❖ wastes money, or
- ❖ involves gross misconduct, gross incompetence, or gross inefficiency

Serious or substantial violations of University policy may also constitute improper governmental activities.

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1.11 Reporting Violations and Protection from Retaliation

REPORTING VIOLATIONS AND PROTECTION FROM RETALIATION

Are you a manager or a supervisor?
Managers and supervisors are required to report allegations of improper governmental activities presented to them.



Report improper behavior!

You are protected from retaliation!

REPORTING VIOLATIONS AND PROTECTION FROM RETALIATION

Are you a manager or a supervisor?

Managers and supervisors are required to report allegations of improper governmental activities presented to them.

Photo: Employee and supervisor talking behind closed doors.

- Employee: Report improper behavior!
- Supervisor: You are protected from retaliation!


1.12 Scenario: Andrei's Printer Problem

ANDREI'S PRINTER PROBLEM

SCENARIO:

Andrei is a manager in a newly established unit and is responsible for selecting and purchasing all the office equipment for the unit. After narrowing his selection to two vendors with similar products and pricing, he learns that one of the vendors offers a free printer for bulk purchases. Feeling inspired by the prospect of a free printer, he focuses his efforts on this company and ends up negotiating a large discount.

Given the discount he negotiated, as well as all his extra efforts on this project, Andrei feels justified in accepting the printer for his home office. However, he isn't sure if it would be appropriate to do so per UC policy.



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1.13 Knowledge Check: Andrei's Printer Problem

KNOWLEDGE CHECK: ANDREI'S PRINTER PROBLEM

Should Andrei accept the free printer for his home office?

(You may select more than one option.)

- A) No. There are laws and University policies that prevent acceptance of a significant gift from a vendor and participating in decisions to award business to that vendor.
- B) Yes. Since the University has not increased his compensation in two years, he should be able to keep the printer as compensation.
- C) Yes. It would be inappropriate to turn down such a gift.
- D) No. Accepting the printer is a conflict of interest.

The best answers are A and D.

KNOWLEDGE CHECK: ANDREI'S PRINTER PROBLEM

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- D. No. Accepting the printer is a conflict of interest.

FEEDBACK:

The best answers are A and D. Proceed to next page to read a discussion of this scenario.

1.14 Discussion: Andrei's Printer Problem

DISCUSSION: ANDREI'S PRINTER PROBLEM


The following Standards of Ethical Conduct apply:

- ❖ Compliance with Applicable Laws and Regulations
- ❖ Compliance with Applicable University Policies, Procedures and Other Forms of Guidance
- ❖ Conflicts of Interest or Commitment

Andrei may not accept the printer because it may be a potential violation of University policy. Please refer to the [Guidance on Acceptance of Personal Gifts and Gratuities by Employees under California's Political Reform Act](#).

If you have questions about whether or not a gift may be accepted, you should ask your supervisor or your location's [Conflict of Interest \(COI\) Coordinator](#).

If you would like to report a potential violation, please submit the report to the UC Whistleblower Hotline (800) 403-4744 or <http://universityofcalifornia.edu/hotline>.



DISCUSSION: ANDREI'S PRINTER PROBLEM

The following Standards of Ethical Conduct apply:


- Compliance with Applicable Laws and Regulations
- Compliance with Applicable University Policies, Procedures and Other Forms of Guidance
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1.15 Scenario: Favor for Frank



FAVOR FOR FRANK

SCENARIO:

Associate Director of Facilities Teresa retired last year and Director of Facilities Dave needed the position filled quickly. Rather than publicly posting the position, Dave contracted with Frank, his former co-worker from a previous job. Dave knew that Frank had the basic qualifications for the position and wanted to work for the UC system.

Meanwhile, several employees in the department were hoping to be considered for the position and planned to apply when it was posted. The position was not posted until twelve months later and by that time Frank had acquired the experience to fulfill the job requirements. Frank was hired from a limited pool of applicants that included two long term staff members.

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1.16 Knowledge Check: Favor for Frank

KNOWLEDGE CHECK: FAVOR FOR FRANK

Which of the following are true statements?

(You may select more than one option.)

- A) It is against UC policy for Director Dave to hire his former colleague because they worked together in the past.
- B) Hiring for University jobs must follow relevant laws and University policies regarding open recruitment.
- C) It was appropriate for Dave to contract with Frank because Dave wanted the position filled quickly and did not want to go through the normal recruitment process.
- D) University values encourage fair dealing and honest interaction between management and staff in the recruitment and promotion process.

The best answers are B and D.

KNOWLEDGE CHECK: FAVOR FOR FRANK

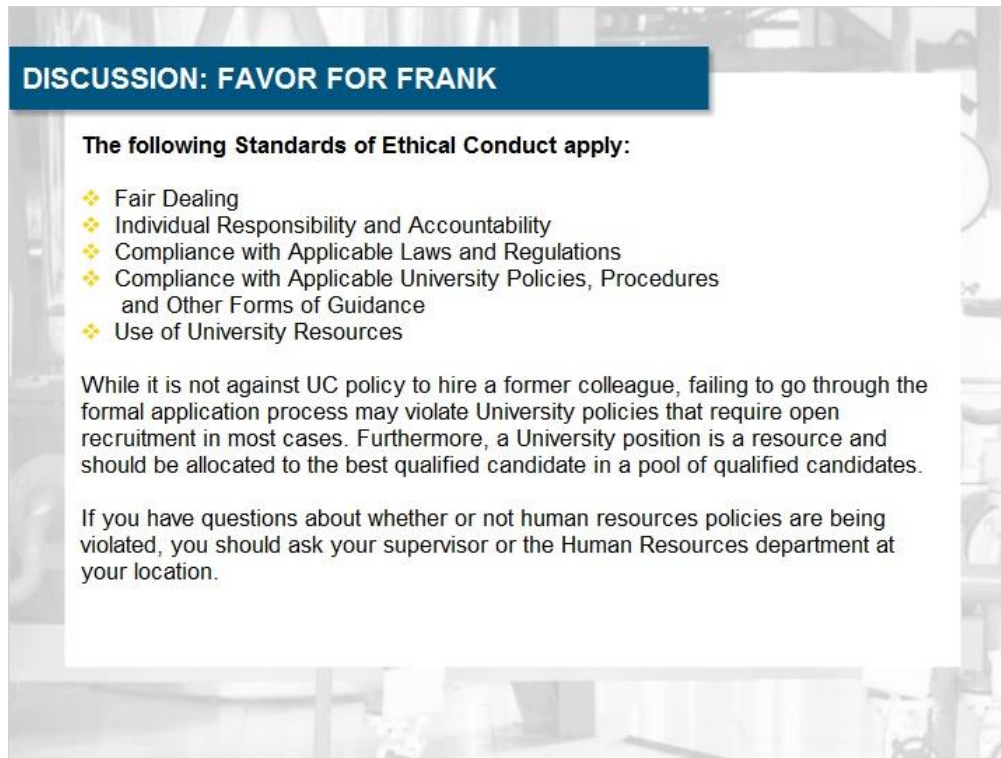
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- C. It was appropriate for Dave to contract with Frank because Dave wanted the position filled quickly and did not want to go through the normal recruitment process.
- D. University values encourage fair dealing and honest interaction between management and staff in the recruitment and promotion process.

Feedback:

The best answers are B and D. Proceed to next page to read a discussion of this scenario.

1.17 Discussion: Favor for Frank



DISCUSSION: FAVOR FOR FRANK

The following Standards of Ethical Conduct apply:

- ❖ Fair Dealing
- ❖ Individual Responsibility and Accountability
- ❖ Compliance with Applicable Laws and Regulations
- ❖ Compliance with Applicable University Policies, Procedures and Other Forms of Guidance
- ❖ Use of University Resources

While it is not against UC policy to hire a former colleague, failing to go through the formal application process may violate University policies that require open recruitment in most cases. Furthermore, a University position is a resource and should be allocated to the best qualified candidate in a pool of qualified candidates.

If you have questions about whether or not human resources policies are being violated, you should ask your supervisor or the Human Resources department at your location.

DISCUSSION: FAVOR FOR FRANK

The following Standards of Ethical Conduct apply:

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1.18 Scenario: Ingrid's Interest

INGRID'S INTERESTS

SCENARIO:

Ingrid is a budget officer in the School of Engineering. She would like to serve on a committee that will select a company to provide consulting services to the School of Engineering. Ingrid's husband works for one of the companies bidding on the contract. However, he won't be working on the proposal, and if his company wins the bid, he wouldn't be part of the consulting job.



Scenario: Ingrid's Interest

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1.19 Knowledge Check: Ingrid's Interests

KNOWLEDGE CHECK: INGRID'S INTERESTS

Which of the following are true statements?

(You may select more than one option.)

- A) Ingrid's participation in a decision that involves her husband's company violates University policy and state law.
- B) Because Ingrid's husband will not be working on the consulting job, Ingrid's interest will not be compromised.
- C) Even if the bidding process means that the lowest bidder gets the consulting job, Ingrid's involvement in the decision creates the appearance of a conflict of interest.

The best answers are A and C.

KNOWLEDGE CHECK: INGRID'S INTERESTS

Which of the following are true statements? (You may select more than one option.)

- A) Ingrid's participation in a decision that involves her husband's company violates University policy and state law.
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- C) C) Even if the bidding process means that the lowest bidder gets the consulting job, Ingrid's involvement in the decision creates the appearance of a conflict of interest.

Feedback:

The best answers are A and C. Proceed to next page to read a discussion of this scenario.

1.20 Discussion: Ingrid's Interest

DISCUSSION: INGRID'S INTERESTS

The following Standards of Ethical Conduct apply:

- ❖ Fair Dealing
- ❖ Compliance with Applicable University Policies, Procedures and Other Forms of Guidance
- ❖ Conflicts of Interest or Commitment
- ❖ Compliance with Applicable Laws and Regulation

Even though the process requires selection of the lowest bid, and Ingrid's husband will not personally gain if his company were selected, Ingrid has a financial interest in the University's decision to select a consulting vendor and may not participate in any way in the decision. While she receives no direct income from her husband's company, Ingrid's community property interest in her husband's salary is enough to constitute a conflict. She would also have a conflict of interest if the other individual in this scenario were a registered domestic partner, rather than her husband.

As long as Ingrid has an interest in the decision, she has a conflict of interest and may not participate. Even if the result of the process is that the lowest bidder gets the contract, Ingrid could be liable for civil and criminal penalties, because she would have violated the conflict of interest provisions of the Political Reform Act, which applies to all University employees.

Additional Reading:

[UC Policies on Conflict of Interest](#)

[Public Officials and Employees Rules](#)

DISCUSSION: INGRID'S INTERESTS

The following Standards of Ethical Conduct apply:

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As long as Ingrid has an interest in the decision, she has a conflict of interest and may not participate. Even if the result of the process is that the lowest bidder gets the contract, Ingrid could be liable for civil and criminal penalties, because she would have violated the conflict of interest provisions of the Political Reform Act, which applies to all University employees.

Additional Reading:

[UC Policies on Conflict of Interest](#)

[Public Officials and Employees Rules](#)


1.21 Scenario: Cliff's Consulting

CLIFF'S CONSULTING

SCENARIO:

Cliff is a junior faculty member in the History department who was recently hired to teach multiple sections of his specialty, Greek history. Cliff is also a talented web designer, and to make extra money, he recently entered into an outside consulting agreement with a company to design its website.

The extra work is keeping him up very late at night, and to meet the company deadlines, he also uses many of his office hours to work on the website. Cliff is so tired that he is barely able to stay focused when lecturing. His students have been complaining that he is falling behind with grading, and his colleagues have also expressed concern about his lack of participation in department meetings.



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1.22 Knowledge Check: Cliff's Consulting

KNOWLEDGE CHECK: CLIFF'S CONSULTING

What is the appropriate way(s) for Cliff to handle this situation?
(You may select more than one option.)

- A) Cliff should make sure his outside interests do not interfere with his University responsibilities.
- B) Cliff should drink more coffee and be more productive.
- C) Cliff should speak with his supervisor and follow the appropriate University process as related to the UC Conflict of Commitment Policy.
- D) Cliff should not use University resources to work on outside activities for personal gain.

The best answers are A, C and D.

KNOWLEDGE CHECK: CLIFF'S CONSULTING

What is the appropriate way(s) for Cliff to handle this situation?

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- D. Cliff should not use University resources to work on outside activities for personal gain.

Feedback:

The best answers are A, C, and D. Proceed to next page to read a discussion of this scenario.

1.23 Discussion: Cliff's Consulting

DISCUSSION: CLIFF'S CONSULTING

The following Standards of Ethical Conduct apply:

- ❖ Respect for Others
- ❖ Conflicts of Interest or Commitment
- ❖ Use of University Resources

While University employees may be able to hold outside jobs and enter into outside consulting agreements, Cliff's primary problem in this scenario is that his outside interests are affecting his duties as a University employee. As a faculty member, Cliff's time and effort are governed by the [UC Conflict of Commitment Policy](#). The policy specifies limits on time and effort that can be expended on external activities. Cliff should ensure that he is in compliance with the policy and is not misusing University time and resources for personal gain.

If you have questions about whether or not an outside professional activity is appropriate, you should ask your supervisor or the Academic Personnel office.



DISCUSSION: CLIFF'S CONSULTING

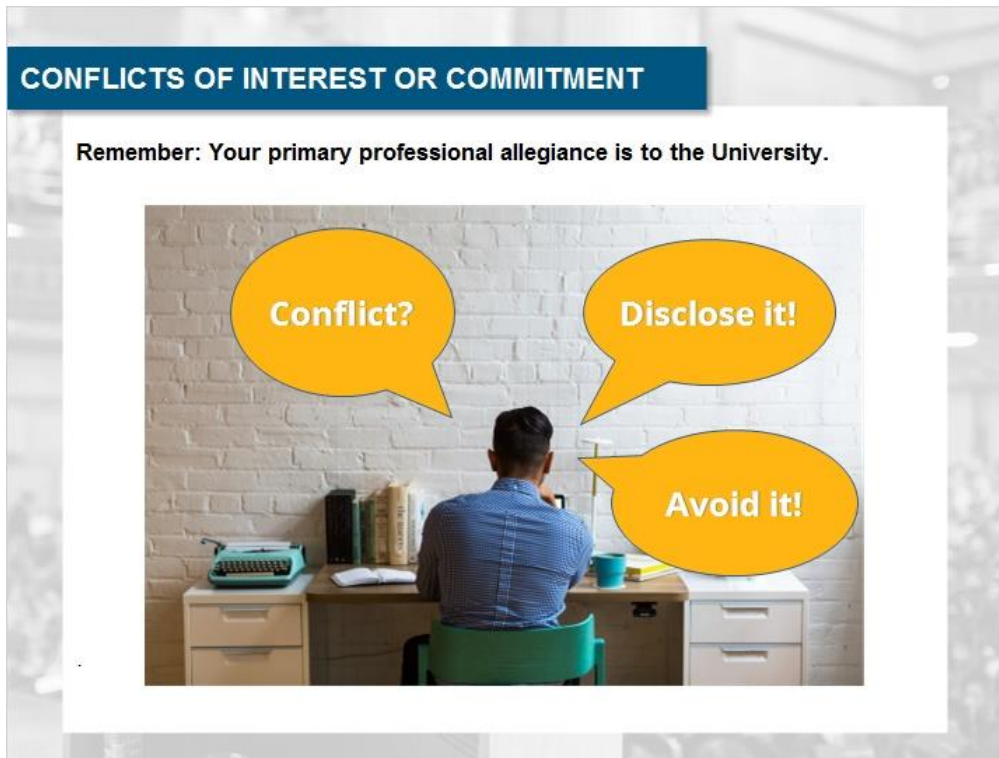
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If you have questions about whether or not an outside professional activity is appropriate, you should ask your supervisor or the Academic Personnel office.

1.24 Conflicts of Interest or Commitment

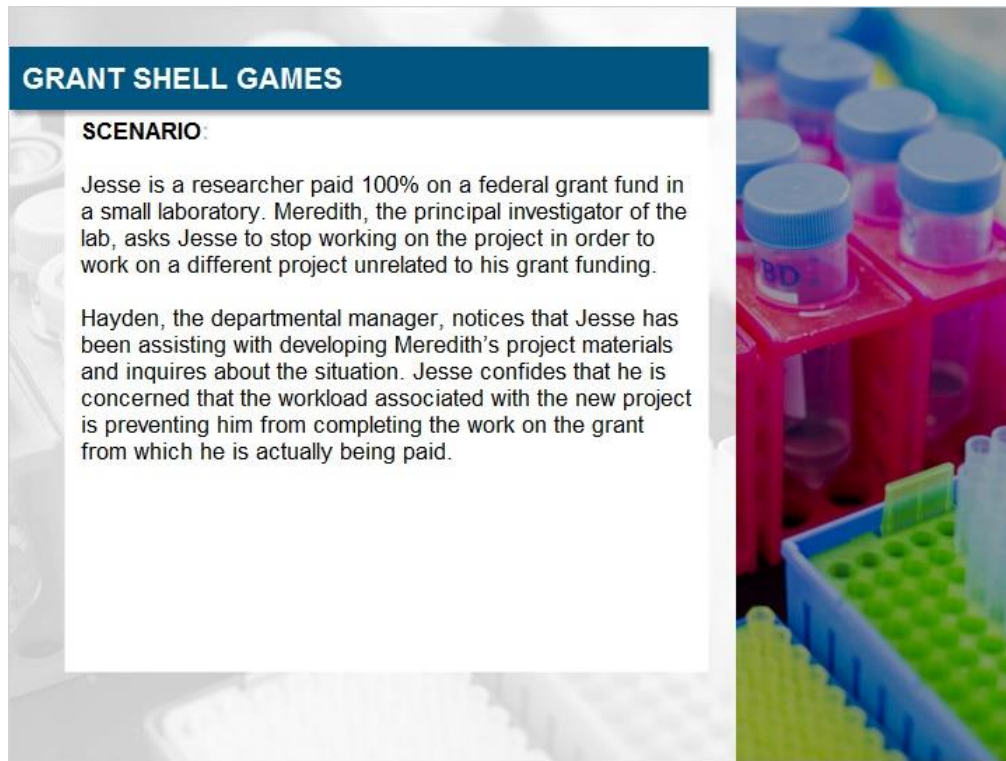


CONFLICTS OF INTEREST OR COMMITMENT

Remember: Your primary professional allegiance is to the University.

Photo: Faculty member sitting at desk thinking, "Conflict?" Faculty member tells self what to do if there is a conflict. "Disclose it! Avoid it!"

1.25 Scenario: Grant Shell Games



GRANT SHELL GAMES

SCENARIO:

Jesse is a researcher paid 100% on a federal grant fund in a small laboratory. Meredith, the principal investigator of the lab, asks Jesse to stop working on the project in order to work on a different project unrelated to his grant funding.

Hayden, the departmental manager, notices that Jesse has been assisting with developing Meredith's project materials and inquires about the situation. Jesse confides that he is concerned that the workload associated with the new project is preventing him from completing the work on the grant from which he is actually being paid.

GRANT SHELL GAMES

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1.26 Knowledge Check: Grant Shell Games

KNOWLEDGE CHECK: GRANT SHELL GAMES

Which of the following statements related to this scenario are true?
(You may select more than one option.)

- A) As long as Jesse is getting the work done on the project he is paid from, it is OK to work on the new project.
- B) If Jesse's time is charged 100% to the current grant and he is also working on another project, he and his supervisor Meredith are causing the grant to be falsely reported to the federal government.
- C) There are good internal controls in place to prevent inaccurate charges.
- D) The situation involves an allegation of Improper Governmental Activity, so Hayden should contact her campus Locally Designated Official (LDO).

The best answers are B and D.

KNOWLEDGE CHECK: GRANT SHELL GAMES

Which of the following statements related to this scenario are true? (You may select more than one option.)

- A. As long as Jesse is getting the work done on the project he is paid from, it is OK to work on the new project.
- B. If Jesse's time is charged 100% to the current grant and he is also working on another project, he and his supervisor Meredith are causing the grant to be falsely reported to the federal government.
- C. There are good internal controls in place to prevent inaccurate charges.
- D. The situation involves an allegation of Improper Governmental Activity, so Hayden should contact her campus Locally Designated Official (LDO).

Feedback:

The best answers are B and D. Proceed to next page to read a discussion of this scenario.

1.27 Discussion: Grant Shell Games

DISCUSSION: GRANT SHELL GAMES

The following Standards of Ethical Conduct apply:

- ❖ Individual Responsibility and Accountability
- ❖ Compliance with Applicable Laws and Regulations
- ❖ Internal Controls
- ❖ Financial Reporting
- ❖ Reporting Violations and Protection from Retaliation

Research grants are critical to the University's mission and should not be misused. Each employee in this scenario has a responsibility to ensure that grants are charged only for time actually worked and within the approved program for that grant.

In this scenario, Hayden should discuss possible improper salary charges with Meredith, the principal investigator, and make sure the salary charges are corrected while the proposal work is underway. She should also ask that, going forward, Meredith tell her in advance when she is redirecting her staff's work assignments so that she may allocate salary charges appropriately. If improper salary charges were found, Hayden has the responsibility to consult with her location's [Locally Designated Official \(LDO\)](#), the official responsible for receiving reports of Improper Governmental Activity (IGA) under the UC Whistleblower Policy. Such reports are treated confidentially by the University, and those who make them are protected from retaliation.

DISCUSSION: GRANT SHELL GAMES

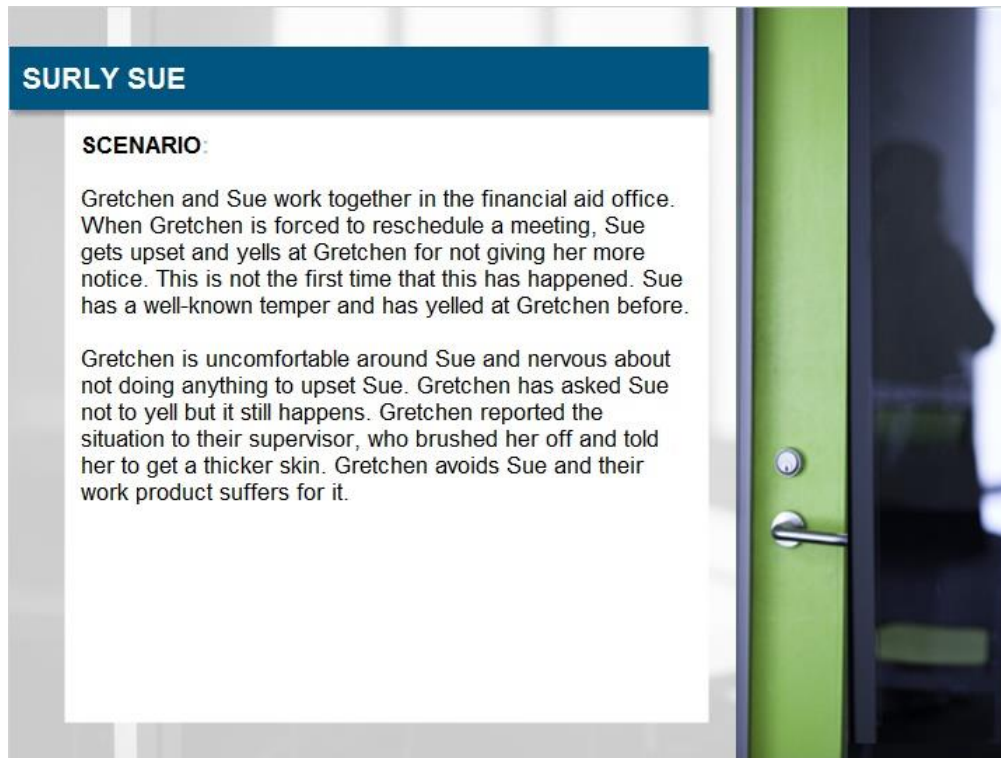
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1.28 Scenario: Surly Sue



SURLY SUE

SCENARIO:

Gretchen and Sue work together in the financial aid office. When Gretchen is forced to reschedule a meeting, Sue gets upset and yells at Gretchen for not giving her more notice. This is not the first time that this has happened. Sue has a well-known temper and has yelled at Gretchen before.

Gretchen is uncomfortable around Sue and nervous about not doing anything to upset Sue. Gretchen has asked Sue not to yell but it still happens. Gretchen reported the situation to their supervisor, who brushed her off and told her to get a thicker skin. Gretchen avoids Sue and their work product suffers for it.

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1.29 Knowledge Check: Surly Sue

KNOWLEDGE CHECK: SURLY SUE

What should Gretchen do?

(You may select more than one option.)

- A) Confront Sue in an angry manner.
- B) Do nothing.
- C) Be more accommodating to Sue and avoid interaction with her when possible.
- D) Report her concerns to HR and/or Labor Relations.

The best answer is D.

KNOWLEDGE CHECK: SURLY SUE

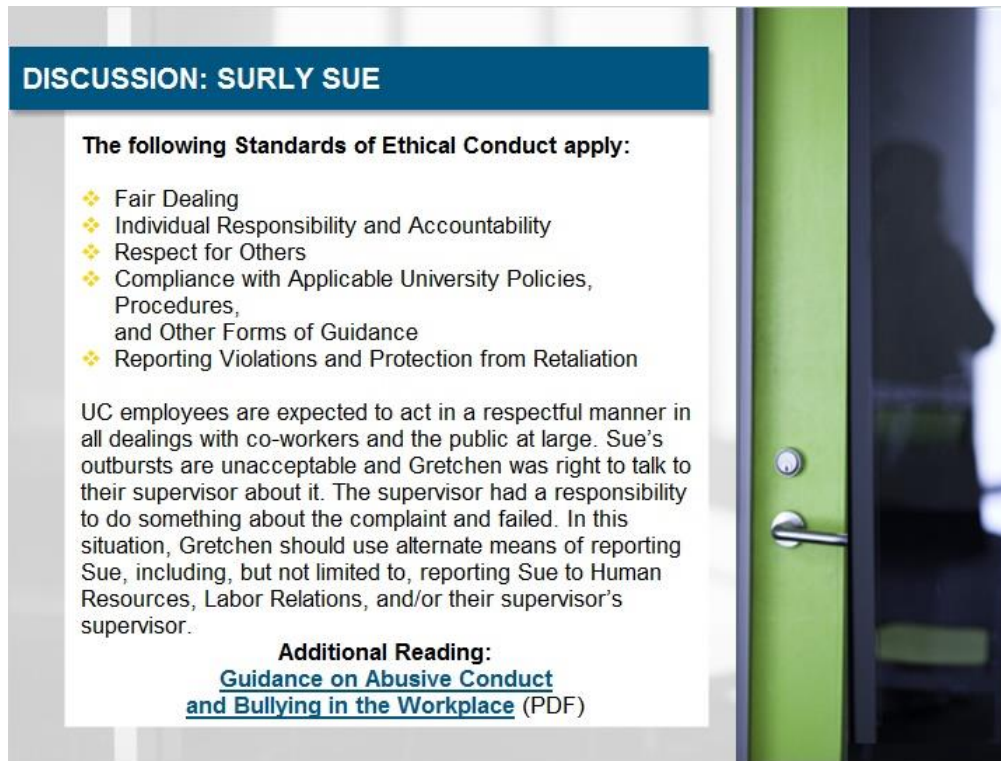
What should Gretchen do? (You may select more than one option.)

- A. Confront Sue in an angry manner.
- B. Do nothing.
- C. Be more accommodating to Sue and avoid interaction with her when possible.
- D. Report her concerns to HR and/or Labor Relations.

Feedback:

The best answer is D. Proceed to next page to read a discussion of this scenario.

1.30 Discussion: Surly Sue



DISCUSSION: SURLY SUE

The following Standards of Ethical Conduct apply:

- ❖ Fair Dealing
- ❖ Individual Responsibility and Accountability
- ❖ Respect for Others
- ❖ Compliance with Applicable University Policies, Procedures, and Other Forms of Guidance
- ❖ Reporting Violations and Protection from Retaliation

UC employees are expected to act in a respectful manner in all dealings with co-workers and the public at large. Sue's outbursts are unacceptable and Gretchen was right to talk to their supervisor about it. The supervisor had a responsibility to do something about the complaint and failed. In this situation, Gretchen should use alternate means of reporting Sue, including, but not limited to, reporting Sue to Human Resources, Labor Relations, and/or their supervisor's supervisor.

Additional Reading:
[Guidance on Abusive Conduct and Bullying in the Workplace](#) (PDF)

DISCUSSION: SURLY SUE

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Additional Reading:

[Guidance on Abusive Conduct and Bullying in the Workplace](#) (PDF)

1.31 The "Los Angeles Times Test"



THE "LOS ANGELES TIMES TEST"

While the previous case studies demonstrate specific violations of the *Standards of Ethical Conduct*, not all situations are as clear-cut. There are some activities that, while legal and not explicitly prohibited by University policy, may not pass what is known as the "Los Angeles Times Test". That is, if what you are doing were to appear on the front page of the newspaper, would you feel proud of your actions?

The easiest way to stay out of trouble is to ask yourself:

- ❖ How would I explain what I'm doing to my **family**?
- ❖ What would my **supervisor or colleagues** think about what I'm doing?
- ❖ Would talking about this at a non-University social event make me feel **embarrassed or uncomfortable**?
- ❖ Am I uneasy when I hear about **colleagues** doing this?

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- Would talking about this at a non-University social event make me feel **embarrassed or uncomfortable**?
- Am I uneasy when I hear about **colleagues** doing this?

1.32 Compliance Reporting Decision Tree (Part 1)



COMPLIANCE REPORTING DECISION TREE (PART 1)

Your immediate supervisor is your primary reporting option.

1.33 Compliance Reporting Decision Tree (Part 2)

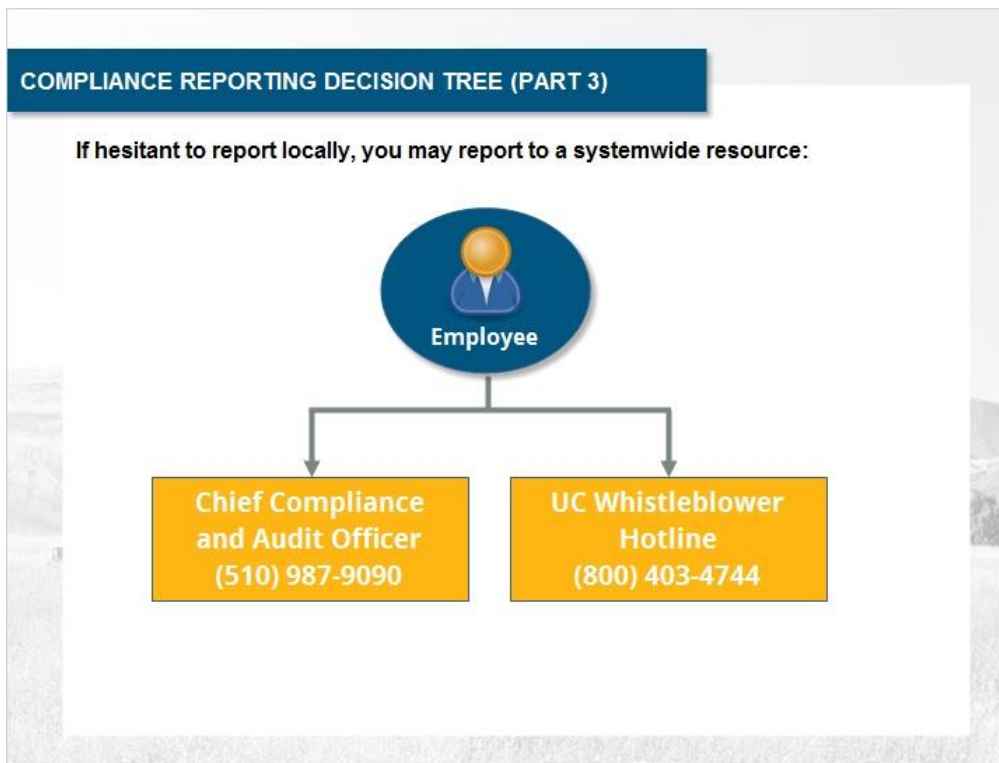


COMPLIANCE REPORTING DECISION TREE (PART 2)

If hesitant to report to your supervisor, you may report to one of these local resources:

- Campus Ethics and Compliance Officer
- Human Resources
- Campus Counsel
- Locally Designated Official

1.34 Compliance Reporting Decision Tree (Part 3)

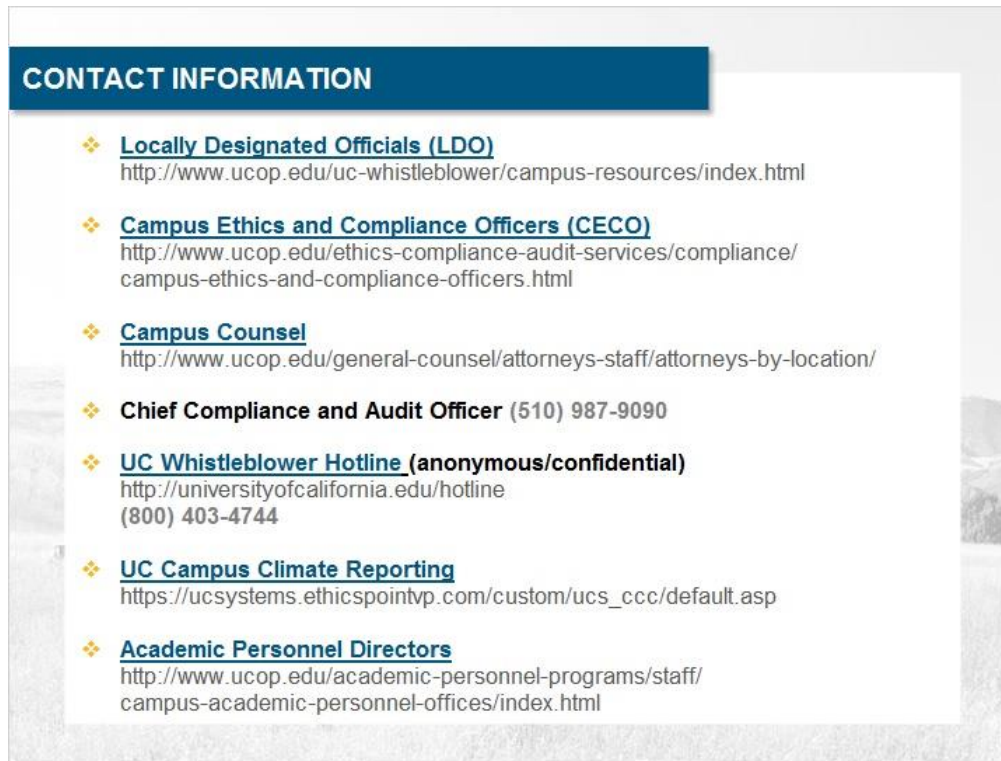


COMPLIANCE REPORTING DECISION TREE (PART 3)

If hesitant to report locally, you may report to a systemwide resource:

- Chief Compliance and Audit Officer (510) 987-9090
- UC Whistleblower Hotline (800) 403-4744

1.35 Contact Information



CONTACT INFORMATION

- ❖ **Locally Designated Officials (LDO)**
<http://www.ucop.edu/uc-whistleblower/campus-resources/index.html>
- ❖ **Campus Ethics and Compliance Officers (CECO)**
<http://www.ucop.edu/ethics-compliance-audit-services/compliance/campus-ethics-and-compliance-officers.html>
- ❖ **Campus Counsel**
<http://www.ucop.edu/general-counsel/attorneys-staff/attorneys-by-location/>
- ❖ **Chief Compliance and Audit Officer (510) 987-9090**
- ❖ **UC Whistleblower Hotline (anonymous/confidential)**
<http://universityofcalifornia.edu/hotline>
(800) 403-4744
- ❖ **UC Campus Climate Reporting**
https://ucsystems.ethicspointvp.com/custom/ucs_ccc/default.asp
- ❖ **Academic Personnel Directors**
<http://www.ucop.edu/academic-personnel-programs/staff/campus-academic-personnel-offices/index.html>

CONTACT INFORMATION

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Campus Ethics and Compliance Officers (CECO)

<http://www.ucop.edu/ethics-compliance-audit-services/compliance/campus-ethics-and-compliance-officers.html>

Campus Counsel

<http://www.ucop.edu/general-counsel/attorneys-staff/attorneys-by-location/>

Chief Compliance and Audit Officer (510) 987-9090

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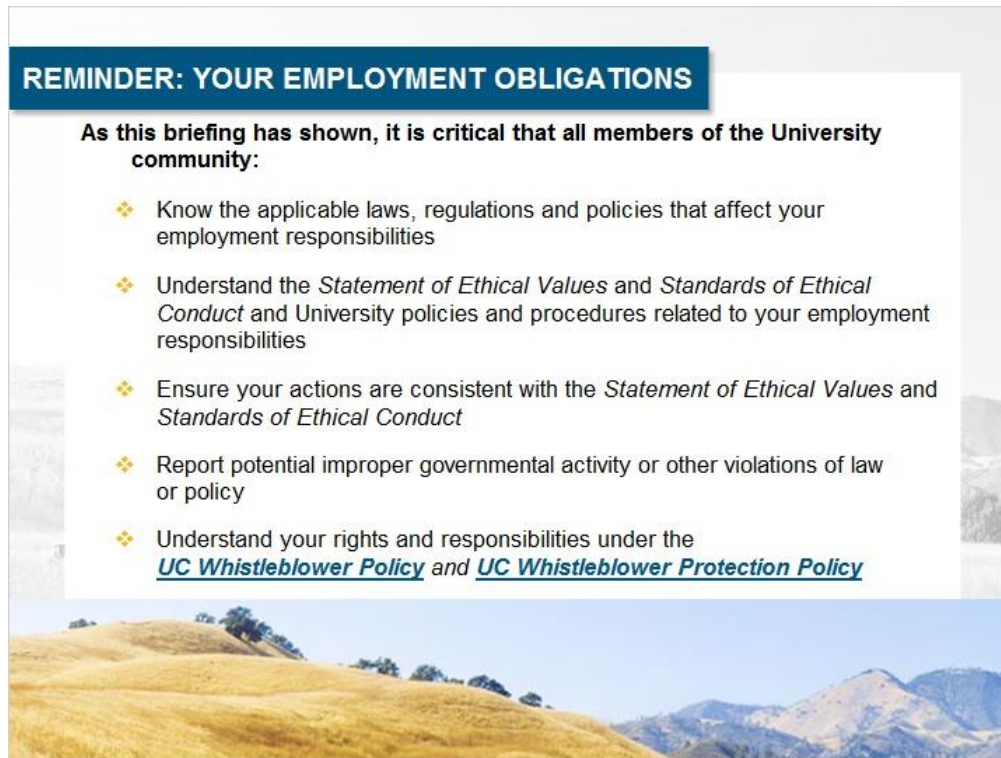
UC Campus Climate Reporting

https://ucsystems.ethicspointvp.com/custom/ucs_ccc/default.asp

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1.36 Reminder: Your Employment Obligations



REMINDER: YOUR EMPLOYMENT OBLIGATIONS

As this briefing has shown, it is critical that all members of the University community:

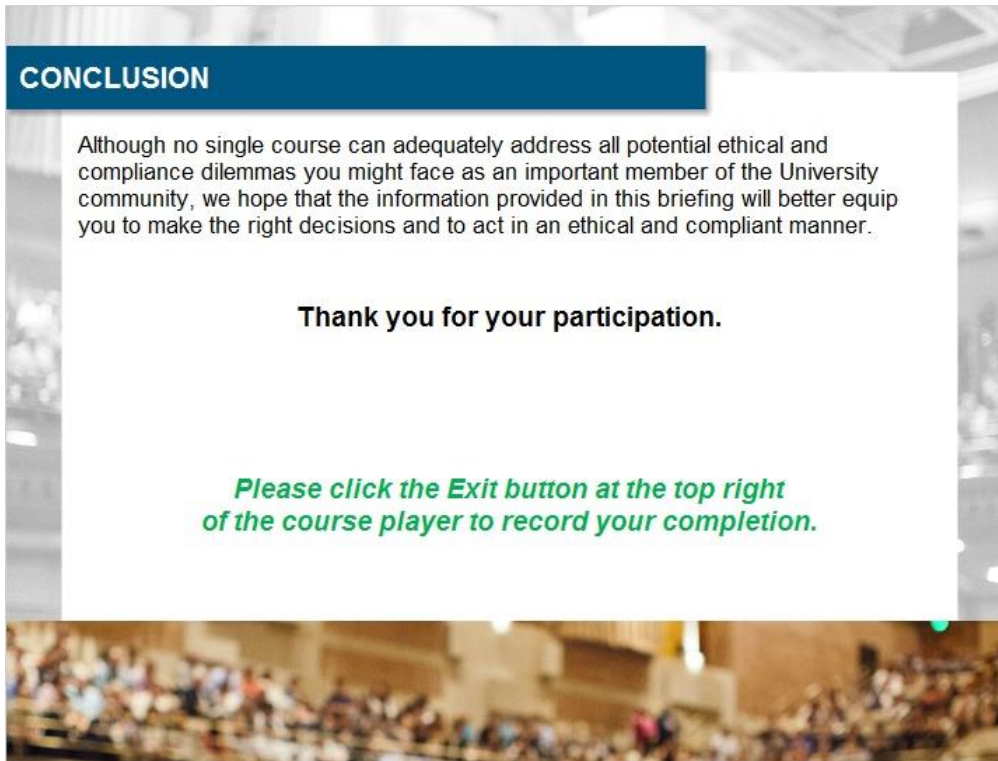
- ❖ Know the applicable laws, regulations and policies that affect your employment responsibilities
- ❖ Understand the *Statement of Ethical Values and Standards of Ethical Conduct* and University policies and procedures related to your employment responsibilities
- ❖ Ensure your actions are consistent with the *Statement of Ethical Values and Standards of Ethical Conduct*
- ❖ Report potential improper governmental activity or other violations of law or policy
- ❖ Understand your rights and responsibilities under the [UC Whistleblower Policy](#) and [UC Whistleblower Protection Policy](#)

REMINDER: YOUR EMPLOYMENT OBLIGATIONS

As this briefing has shown, it is critical that all members of the University community:

- Know the applicable laws, regulations and policies that affect your employment responsibilities
- Understand the *Statement of Ethical Values and Standards of Ethical Conduct* and University policies and procedures related to your employment responsibilities
- Ensure your actions are consistent with the *Statement of Ethical Values and Standards of Ethical Conduct*
- Report potential improper governmental activity or other violations of law or policy
- Understand your rights and responsibilities under the [UC Whistleblower Policy](#) and [UC Whistleblower Protection Policy](#)

1.37 Conclusion



CONCLUSION

Although no single course can adequately address all potential ethical and compliance dilemmas you might face as an important member of the University community, we hope that the information provided in this briefing will better equip you to make the right decisions and to act in an ethical and compliant manner.

Thank you for your participation.

*Please click the **Exit** button at the top right of the course player to record your completion.*

1.38 Resources Tab

- Statement of Ethical Values (PDF)
<http://www.ucop.edu/ethics-compliance-audit-services/files/stmt-stds-ethics.pdf>
- Standards of Ethical Conduct
<http://www.ucop.edu/ethics-compliance-audit-services/compliance/standards-of-ethical-conduct.html>
- UC Whistleblower Policy
<http://policy.ucop.edu/doc/1100171/Whistleblower>
- UC Whistleblower Protection Policy
<http://policy.ucop.edu/doc/1100563/WPP>
- UC Whistleblower Hotline
<http://universityofcalifornia.edu/hotline>
- Guidance on Acceptance of Personal Gifts and Gratuities by Employees under California's Political Reform Act
<http://policy.ucop.edu/doc/1200366/>
- UC Policies on Conflict of Interest
<http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/>
- Public Officials and Employees Rules
<http://www.fppc.ca.gov/learn/public-officials-and-employees-rules-.html>
- UC Conflict of Commitment Policy (PDF)
<http://www.ucop.edu/academic-personnel-programs/files/apm/apm-025-07-01.pdf>
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