



UC San Diego

Policy & Procedure Manual

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POLICE, SECURITY

Section: 460-5

Effective: 04/05/2024

Supersedes: 04/02/2013

Next Review Date: 04/05/2027

Issuance Date: 04/05/2024

Issuing Office: [Chancellor's Office](#)

REPORTING AND INVESTIGATING ALLEGATIONS OF SUSPECTED IMPROPER GOVERNMENTAL ACTIVITIES

I. REFERENCES

- A. University of California Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities (Whistleblower Policy)_
<https://policy.ucop.edu/doc/1100171/Whistleblower>
- B. University of California Whistleblower Protection Policy <https://policy.ucop.edu/doc/1100563/WPP>
- C. UC San Diego Policy and Procedure Manual (PPM) 200-14 Protection of Whistleblowers from Retaliation UC San Diego Implementing Procedure
<https://adminrecords.ucsd.edu/ppm/docs/200-14.html>

II. INTRODUCTION

This is the local implementing procedure for the *UC Policy for Reporting and Investigating Allegations of Suspected Improper Governmental Activities* (UC Whistleblower Policy). If any provision contradicts the UC Whistleblower Policy, the UC policy controls.

Rights and protections of University employees and applicants for employment when making protected disclosures are addressed in the *UC Whistleblower Protection Policy* (UC WPP). UC San Diego's responsibilities and procedures under the systemwide UC WPP are established in UC San Diego Implementing Procedure PPM 200-14: Whistleblower Retaliation Complaint Resolution.

In all instances, UC San Diego retains the prerogative to determine when circumstances warrant or do not warrant an investigation and the appropriate timing, scope, and manner of any investigation initiated under this local implementing procedure.

III. REPORTING ALLEGATIONS OF SUSPECTED IMPROPER GOVERNMENTAL ACTIVITIES

Reporting parties should provide a clear and concise statement of the alleged improper act, why they believe it is improper, and what evidence exists to confirm the allegation. They should also provide names of witnesses and submit copies of documents that support the allegation. Reports of alleged Improper Governmental Activities must be factual and not speculative or conclusory.

Reports of suspected Improper Governmental Activities may be made to:
UC Whistleblower Hotline at 800-403-4744

or www.universityofcalifornia.edu/hotline

or by emailing LDO@ucsd.edu.

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Employees may also report Improper Governmental Activities to their supervisor or other appropriate administrator.

The UC Whistleblower Hotline service, operated independently of the University and the campus, offers anonymity, assigns a case number to each caller, and acts as a contractual intermediary for the institution. Anonymous callers may receive information about the disposition of their reported matters by making subsequent hotline inquiries using the assigned case number.

Allegations reported without adequate and specific information could result in an inability to investigate. If allegations are reported anonymously, the campus will have no way to follow up with the reporter for additional information, unless the reporter makes subsequent contact.

IV. INVESTIGATING ALLEGATIONS OF IMPROPER GOVERNMENTAL ACTIVITIES

A. Locally Designated Official (LDO)

The LDO is responsible for implementation of the UC Whistleblower Policy for the campus. The LDO is responsible for using their judgment and discretion with respect to:

- assessing allegations under the UC Whistleblower Policy;
- conducting or assigning investigations under the UC Whistleblower Policy;
- determining whether, when, and how investigations should occur;
- making findings on whether violations of the UC Whistleblower Policy have been established; and
- forwarding findings of violations to appropriate offices for appropriate follow-up, which could include, without limitation, corrective actions and/or discipline, as allowed by and in accordance with University policy as determined by such other offices.

B. Campus Review Units

The LDO may, in their discretion, assign preliminary assessments or investigations to a Campus Review Unit as defined below, to others at UC San Diego, or to outside investigators.

Campus Review Units and their general areas of expertise include the following:

Academic Affairs:

- Academic personnel matters and complaints of possible violations of the Faculty Code of Conduct.

Audit & Management Advisory Services:

- Misuse of University resources, including fraud, financial irregularities, significant weaknesses in internal controls, and the financial consequences of other matters under investigation.

Campus Police:

- Investigations of known or suspected criminal acts within its jurisdiction.
- Communications with law enforcement agencies and reporting results of criminal investigations to the District Attorney or other appropriate law enforcement agencies.

Campus Human Resources:

- Campus staff personnel matters.

Health Sciences Human Resources:

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- Health Sciences and Health System staff personnel matters.

Vice Chancellor Research:

- Research misconduct.

Health Sciences Compliance Officer:

- Clinical billing issues.

Office for Prevention of Harassment & Discrimination:

- Allegations of discrimination and/or harassment.

When any office at UC San Diego is investigating an alleged Improper Governmental Activity, the office must notify the LDO at the beginning of the investigation, provide status reports during the investigation, and provide a copy of the final investigation report to the LDO.

V. CONFLICTS

If an allegation pertains to the Chancellor of UC San Diego or to the LDO, the LDO shall report the matter to the Locally Designated Official of the UC Office of the President, and the campus LDO shall not act further on the matter, except pursuant to the direction of the UC Office of the President's LDO. It shall not be considered a conflict of interest for the campus LDO to process allegations regarding persons reporting to the LDO; provided, however, the campus LDO, in the LDO's discretion, may recuse themselves from any matter by providing written notice to the Chancellor and the UC Office of the President's LDO. In cases of recusal of the campus LDO, another LDO will be appointed to serve as LDO for that specific matter.

VI. REVISION HISTORY

2019-08-14	Title and reference updates.
2024-04-05	Policy revised and reissued.