Whistleblower Report Intake and Assessment Flowchart

LDO receives report

Review to determine whether the reported concern is covered by UCR Whistleblower Policies.* If not, refer and/or notify reporter.

Consultation with Investigations group or Case Management group as needed.

Determine appropriate method of response. Consider:

- Is there reason to believe the alleged misconduct will continue or recur if not investigated?
- Are there material, relevant, disputed facts or unknowns, which will prevent the unit from effectively addressing the IGA?
- Is the matter not eligible/appropriate for another grievance or complaint process?
- Is the person alleged to have committed the IGA a current or former UCR employee?

- "Yes" answers make investigation more likely;
- "No" answers make other resolution options more likely

Close or refer to management for non-investigative response/consideration

Does the report provide sufficient information to assess or respond?

Yes

Attempt to collect more information from reporter or conduct other inquiry

No

Is the report actionable? Does it allege an IGA?*

Yes

Is the person alleged to have committed the IGA a current or former UCR employee?

No

Audit

Refer to management

Document review or limited inquiry

Improvement to internal controls

Closure

* UC Whistleblower Policy is designed to address reports of Improper Governmental Activities: An activity by a state agency or by an employee that is undertaken in the performance of the employee's duties, undertaken inside a state office, or...directly relates to state government...and that (1) is in violation of any...law, [Executive Order] or regulation, including, but not limited to, corruption, malfeasance, bribery, theft of governmental property, fraudulent claims, fraud, coercion, conversion, malicious prosecution, misuse of government property, or willful omission or refusal to perform duty, or (2)...is economically wasteful, involves gross misconduct, incompetency, or inefficiency.

(For full definition and more information, visit UCOP's Whistleblower FAQs.)