

INSTRUCTIONS: UCSC accepts and investigates allegations of improper governmental activities by UCSC employees or where UCSC is potentially a victim of wrongdoing.

UCSC Policy on *Reporting and Investigating Allegations of Improper Governmental Activities* is located at: <http://whistleblower.ucsc.edu>. Reports may be made anonymously or with identification by phone to the UC Whistleblower hotline at **(800) 403-4744** or by using an on line form at the website <http://universityofcalifornia.edu/hotline>.

Because we do not undertake investigations without adequate cause, we need as much evidence as possible to corroborate the allegation(s) such as documents, witnesses, and other specific and relevant information.

Investigating improper governmental activities is more difficult if complaints are filed anonymously because of the difficulty of obtaining evidence to corroborate the alleged improper activity before we begin an investigation. If you choose to file your complaint anonymously, be sure to provide specific and relevant information including the first and last names of any individuals mentioned, their contact information, and the location address at which the improper activity occurred.

When describing the improper activity, please provide as much of the following information for *each* of your allegations and number each allegation, if there is more than one. Use additional pages if necessary.

- Who?** Who is involved? If outside businesses or contractors are involved, what are the names of the businesses, who owns them, and where are they located? Who else knows about the improper activities? Who can and would confirm that they occurred? How can we reach these witnesses?
- What?** What specifically did the suspect do? What is wrong with it? Are there laws or regulations that govern what the suspect did? What kinds of documents would provide evidence of the improper activities? Where are the documents located? Who controls them?
- Where?** Which division, unit, or campus location did the action happen?
- When?** When did the improper activity occur? Is it ongoing? How frequently has it occurred?
- Why?** What are the suspect(s) motives? For example, how does the suspect benefit? If others benefit from the activities, who are they and how do they benefit?
- How?** How did the wrongdoing occur? Was there a lack of controls, circumvention of controls, or collusion with other individuals?

Please email this form to wbreport@ucsc.edu or you can mail it (marked “confidential”) to:

Anna Finn
Associate Chancellor, Chief of Staff &
Chief Ethics and Compliance Officer
UC Santa Cruz
1156 High Street
Santa Cruz, CA 95064

If you have additional questions, please contact wbreport@ucsc.edu

REPORTER'S CONTACT INFORMATION (Not Required)

NAME		POSITION	
EMPLOYER/UNIT	WORK LOCATION/ADDRESS		WORK PHONE
HOME ADDRESS			HOME PHONE
BEST TIME/PLACE TO REACH YOU:			

SUSPECT(S) INFORMATION

I. NAME			POSITION
DIVISION	UNIT	UNIT ADDRESS	WORK PHONE
HOME ADDRESS/HOME PHONE (IF NON-EMPLOYEE)			

WITNESS(ES) Please provide witnesses that can confirm your allegation

NAME	TITLE	WORK PHONE
DEPARTMENT	ALLEGATION NUMBER(S)	HOME PHONE
NAME	TITLE	WORK PHONE
DEPARTMENT	ALLEGATION NUMBER(S)	HOME PHONE

COMPLAINT: Briefly describe the improper activity and how you know about it. *Specify what, who, when, where, and how.* If there is more than one allegation, number each allegation, use as many pages as necessary.

What wrongdoing occurred?

Who did the wrongdoing?

When did this occur?

Where did this happen (Unit, location)?

What enabled this to happen (How)?

EVIDENCE

Please describe how a UCSC investigator could locate supporting documentation or attach a copy of evidence that you have already in your possession. You should NOT ATTEMPT TO OBTAIN evidence for which you do not have a right of access, as such, whistleblowers are "reporting parties" not investigators.