



OFFICE OF THE PROVOST AND  
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, California 94607-5200

April 30, 2015

**CHANCELLORS  
LABORATORY DIRECTOR ALIVISATOS  
ACADEMIC COUNCIL CHAIR GILLY  
ANR VICE PRESIDENT ALLEN-DIAZ**

**RE: Revised Section 190, Appendix A, Whistleblower Policy and Whistleblower Protection Policy (APM - 190, Appendix A)**

Dear Colleagues:

I am formally transmitting revised Section 190, Appendix A of the Academic Personnel Manual (APM - 190-A), Whistleblower Policy and Whistleblower Protection Policy, which becomes effective May 1, 2015.

The Whistleblower Policy and the Whistleblower Protection Policy have both been under revision in recent years, in some cases without submitting the changes to external review. President Yudof issued a revised Whistleblower Policy on January 1, 2012, and the policy was revised again by the University Policy Office on May 13, 2013. President Napolitano is issuing the revised Whistleblower Protection Policy to be effective May 1, 2015. These Presidential policies, which apply to all University faculty and other academic appointees, students, and staff, can be accessed online at: <http://policy.ucop.edu/doc/1100171> and <http://policy.ucop.edu/doc/1100563>.

Whistleblower Policy. The University Policy Office revised the Whistleblower Policy on May 13, 2013 by placing the existing text in the Presidential Policy template. There were no substantive changes made to the text; the policy was simply reformatted and section references were updated. Current APM - 190, Appendix A-1 reflects the former 2012 iteration of the Whistleblower Policy, but with this issuance the appropriate version of the policy approved by the President will be operative and the APM will both 1) delete the old 2012 policy language and 2) insert a web address containing the new 2013 policy. If you have comments or questions about the May 2013 version of the policy, please direct them to Janet Lockwood by email to [Janet.Lockwood@ucop.edu](mailto:Janet.Lockwood@ucop.edu) or telephone (510) 987-9499.

Whistleblower Protection Policy. The systemwide consultation process 1) to review proposed revisions and 2) to consider removal of the Whistleblower Protection Policy from the Appendix of APM - 190 consisted of full systemwide review distribution to the Academic Senate and to campus academic administrators, from March 3, 2014 to June 2, 2014. Comments were submitted to the Office of General Counsel and the Office of Ethics, Compliance, and Audit Services, who reviewed, analyzed, and incorporated many of the recommendations into final policy. For example, (a) definitions were added for

April 30, 2015

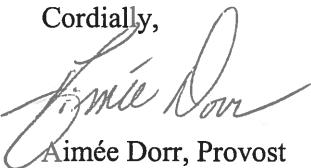
Page 2

the Preponderance of the Evidence and the Clear and Convincing Evidence burdens of proof, (b) timelines were clarified to indicate that calendar days were being referenced, and (c) many recommended text changes were adopted to streamline the language and further enhance clarity. No comments about the proposal to replace this section of the APM were received.

Issuing policies as Presidential Policies. Based on the feedback during the review, APM - 190, Appendices A-1 and A-2 are replaced with new Appendix A, which directs faculty and other academic appointees to the revised Presidential policies. The new Appendix A can be accessed online at: <http://www.ucop.edu/academic-personnel-programs/files/apm/apm-190-a.pdf>. Questions related to the Presidential policy or to APM - 190 may be addressed to Janet Lockwood ([Janet.Lockwood@ucop.edu](mailto:Janet.Lockwood@ucop.edu)).

I wish to thank all members of the University community for their efforts to revise these important policies and the associated change to APM - 190.

Cordially,



Aimée Dorr, Provost  
Executive Vice President for Academic Affairs

Enclosure: APM - 190, Appendix A

cc: President Napolitano  
Members, President's Cabinet  
Council of Vice Chancellors  
Vice President Duckett  
Vice Provost Carlson  
Vice Provosts for Academic Affairs/Academic Personnel  
Chief of Staff Grossman  
Deputy/UCOP Compliance Officer Lane  
Deputy to the Chief of Staff Riley  
Academic Personnel Directors  
Executive Director Baxter  
Executive Director Fox  
Executive Director Tanaka  
Deputy General Counsel Friedlander  
Deputy General Counsel Woodall  
Senior Counsel Leider  
Director Chester  
Director Henderson  
Director Lockwood  
Manager Donnelly  
Policy Coordinator Trifonov  
Human Resources Policy Analyst Bello  
Senior Administrative Assistant Rupert  
Analyst Jordan