

**I. NON-RETALIATION/NON-RETRIBUTION POLICY****PURPOSE / BACKGROUND**

The University of Louisville is responsible for the proper use of its resources and the public and private support that furthers the realization of its mission. The University is committed to conducting its affairs in full compliance with the law and with its own policies and procedures. Such adherence strengthens and promotes ethical and fair practices and treatment of all members of the University community and those who conduct business with the University. All employees and any other individuals holding positions of fiduciary duty with the University are obligated to perform these duties in compliance with all applicable laws and University policies and procedures.

The purpose of this policy is to encourage and enable good-faith reports by University employees of observed or suspected misconduct or noncompliance with law or with University policies and procedures without fear of retaliation or retribution.

**POLICY**

- A. Knowledge of or suspicion of misconduct, violations of law, or other wrongdoing must be immediately reported to University management, the Institutional Compliance Office, other University compliance officials, or the University Compliance Hotline.
- B. No employee is permitted to engage in retaliation, retribution, or any form of harassment against another employee for reporting compliance-related concerns.
- C. Employees cannot exempt themselves from the consequences of wrongdoing by self-reporting, although self-reporting may be taken into account in determining the appropriate course of action.

**II. PROCEDURE FOR POLICY**

- A. All University management must maintain an open-door policy and assure their staff that the system truly encourages the reporting of problems and that there will be no retaliation, retribution, or harassment for doing so.
- B. Any employee who believes that he/she has been subject to conduct in violation of this policy should report this concern directly to the Institutional Compliance Officer or University Compliance Hotline with contact information as follows:

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**Robin Wilcox, Institutional Compliance Officer** *Compliance Hotline:* 1-877-852-1167

University of Louisville  
Institutional Compliance Office  
425 W. Lee St.  
Louisville, KY 40208  
Phone: 1-502-852-8305  
Fax: 1-502-852-0665  
E-Mail: [compliance@louisville.edu](mailto:compliance@louisville.edu)

**Web- Reporting Option:** See “Compliance Hotline Reporting” option on [ULink](#) found under the External Links section of the Faculty/Staff tab.

- C. The Institutional Compliance Officer will begin investigations on all reported concerns within 30 days.
- D. Insofar as legal and practical, confidentiality of employee concerns will be maintained. Only those personnel who have a need to know will be informed.
- E. Any employee who violates this policy will be subject to disciplinary action, up to and including termination.

**III. REFERENCES**

- KRS 61.102 – Reprisal against public employee for disclosure of violations of law prohibited, <http://www.lrc.ky.gov/krs/061-00/102.pdf>
- KRS 205.8465 – Mandatory reporting of violations, Confidentiality, and Prohibition against discrimination or retaliation, <http://www.lrc.ky.gov/krs/205-00/8465.PDF>
- False Claims Act, 31 U.S. Code § 3730(h) – Civil actions for false claims, relief from retaliatory actions, <http://www.gpo.gov/fdsys/pkg/USCODE-2011-title31/pdf/USCODE-2011-title31-subtitleIII-chap37-subchapIII-sec3730.pdf>
- American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) § 1553, Protecting State and Local Government and Contractor Whistleblowers, <http://www.gpo.gov/fdsys/pkg/PLAW-111publ5/pdf/PLAW-111publ5.pdf>

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