

**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 Helpline.
- 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 University Compliance Officer or University Compliance Helpline with contact information as follows:

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Responsible Office: Institutional Compliance Office	Original Effective Date: 4/22/08	Last Revised Date:

**David Barker, University Compliance Officer**  
University of Louisville  
Institutional Compliance Office  
1900 Arthur St., Suite 300  
Louisville, KY 40208  
1-502-852-8305

**Compliance Helpline:** 1-877-852-1167

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

- C. The University 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.

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