

Code of Conduct:

University of Connecticut

This document serves to guide the daily operations of our University system including:

- The Storrs campus;
- Schools of Law and Social Work;
- Regional campuses throughout the State;
- University of Connecticut Health Center

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Letter from the President

Dear Colleagues:

The University of Connecticut is committed to assuring the highest standard of integrity in all aspects of University life and in all University and University-sponsored activities. While this goal is simply stated, its attainment requires concerted effort on the part of all members of the University community, particularly faculty, administrators and staff. Federal, state and local regulations which govern our activities are increasingly complex, and as the University's activities expand in size, scope and prominence, it is important that all of us understand relevant policies and know what is required in terms of compliance and reporting.

The University of Connecticut Board of Trustees is the body that is ultimately responsible for ensuring full compliance. At the Board's direction, the University has established a Compliance Program to help in our efforts to adhere to all federal, state and local regulatory requirements. A key ingredient of an effective Compliance Program is the establishment of a Code of Conduct. This Code of Conduct was developed with input from faculty, administrators and staff.

This Code serves to guide the conduct of University activities in support of the University's mission and is designed to serve three key purposes:

1. To set the basic standards of workplace behavior that the University expects of all faculty, administrators and staff.
2. To state publicly the University's long-term commitment to the highest standards of integrity in education, research, health care and service.
3. To assure that faculty, administrators and staff understand their shared responsibility for keeping the University in full compliance with all applicable laws, regulations and policies.

Please read the Code carefully, and take all steps necessary to apply its standards. The University's Office of Audit, Compliance and Ethics is responsible for monitoring compliance and serving as a resource for questions and guidance on the Code, and on the University policies and procedures that spell out compliance requirements in greater detail.

A key element in assuring University-wide compliance is a system for reporting potential violations. In an institution this large and active, there may be areas of confusion; regrettably, there may also be instances in which individual behavior does not meet appropriate ethical expectations. Any University employee who observes a possible violation of law, regulation, policy or approved procedure has an obligation to report it. While a key element is reporting inappropriate activity, I want to emphasize that the most important element of any compliance or ethics program is working cooperatively to assure a positive climate of openness and integrity. Great universities function as true communities in which faculty, administrators, staff and students collaborate to achieve common goals. That holds true for instruction, research, service and, at the most fundamental level, ethical compliance.

I want to thank you for understanding and adhering to these standards, and for your commitment to the highest level of ethical conduct in fulfillment of our institutional responsibilities.

Sincerely,

Michael J. Hogan

The University of Connecticut Ethics Statement

The standards contained in this Code of Conduct reflect the University of Connecticut's core values, as they have been articulated over time by generations of faculty, staff, administrators, students and the State of Connecticut. These values are essential and enduring tenets of our organization. A statement of these values, while reiterating concepts already well understood, is helpful in outlining the context in which our Code will operate. Please be advised that violation of the standards in this Code of Conduct may result in appropriate disciplinary measures.

- Knowledge:** Members of the University community value truth, the pursuit of truth, intellectual curiosity and academic freedom. Our faculty and students seek to create new knowledge and are committed to sharing ideas, research findings and the products of intellectual and creative pursuits with the broader community
- Honesty:** Members of the University community are truthful and sincere in their words and actions and do not intentionally mislead others or provide inaccurate information.
- Integrity:** Institutional and individual behaviors at the University reflect fundamental moral and ethical values. Our actions are beyond reproach and avoid both the fact and the appearance of impropriety.
- Respect:** The University honors individuality and demonstrates tolerance for the personal beliefs and cultural differences of all individuals. As members of an academic community, we seek to foster a spirit of civility and collegiality through open and honest communication. We strive to protect the health and safety of all persons. We protect the private and confidential information that is provided by our patients and research participants, faculty, administrators, staff, students, volunteers and others. We value an environment that is free from harassment and violence.
- Professionalism:** The University and its members expect that the professional standards and requirements that are applicable to the academic, research, clinical, administrative and other professions comprising our community will be followed. We are responsible and accountable for our actions and are expected to make reasonable efforts to comply with all applicable federal, state and local government laws and regulations. As individuals and as an institution, we also strive to follow ethical business practices and to act as good stewards of the resources made available to us.

Introduction to the University of Connecticut Code of Conduct

In all its endeavors, the University of Connecticut is dedicated to excellence that is demonstrated through national and international recognition. As Connecticut's public research university, through freedom of academic inquiry and expression, we create and disseminate knowledge by means of scholarly and creative achievements, graduate and professional education, and outreach. Through our focus on teaching and learning, the University helps every student grow intellectually and become a contributing member of the state, national and world communities. Through teaching, research, service and outreach, we embrace diversity and cultivate leadership, integrity and engage citizenship in our students, faculty, staff and alumni. As our state's flagship public land and sea grant institution, we promote the health and well being of Connecticut's citizens through enhancing the social, economic, cultural and natural environments of the state and beyond.

If you are faced with an ethical issue, you should consult this Code of Conduct as well as current University policies and procedures. You are responsible and accountable for addressing your ethical dilemmas. Consultation with your supervisor, other appropriate colleagues, or the Office of Audit, Compliance & Ethics is appropriate and valued.

Education Standards

The University of Connecticut recognizes education as one of its primary missions and strives to maintain a professional environment conducive to the development of its students. To that end, the University believes that the purposes of an educational institution are best served by attracting scholars of proven professional and personal competence and integrity and by assuring those teachers and scholars freedom to expand human knowledge and understanding.

- We educate students from a wide range of backgrounds and respect differences in each individual's heritage and goals.
- We respect the individual choices that students make for career paths.
- We respect each student as a valuable individual regardless of age, race, color, nationality, ethnicity, ancestry, marital status, gender, disability, religion, sexual orientation or personal beliefs.
- We acknowledge and support students' rights to question faculty members, the administration and staff in good faith.
- We comply with all applicable statutes and regulations.

Student conduct is governed by the applicable codes of conduct and professional standards of conduct adopted by their schools. While this Code applies primarily to faculty, administrators and staff, its underlying principles are, however, common to codes and regulations governing students.

Athletics

The Division of Athletics operates a broad-based program of intercollegiate athletics and recreational and intramural opportunities that reflect the ethical philosophy of the University, the interest of the student body and the desires of the University's internal and external constituencies.

- We offer student-athletes the opportunity to excel in academic achievement and athletic accomplishments.
- We foster among our students a sense of citizenship, leadership and social responsibility and encourage adherence to the highest standards of integrity and ethics.
- We promote principles of good sportsmanship, honesty and fiscal responsibility in compliance with University, state, National Collegiate Athletic Association (NCAA) and conference regulations.
- We promote and support the University's comprehensive commitment to diversity and equity, providing equitable opportunity for all students and staff, including women and members of minority groups.

Practical Considerations

- *Do I foster an environment that is conducive to learning?*
- *Am I providing each student an equal opportunity to learn?*
- *Am I accessible to my students for questions/discussions (i.e. email, office hours)?*
- *Do I react negatively when students challenge or critique my interpretation of source material?*
- *Do I respect my students as individuals with the right to make choices regarding their education and future goals?*
- *Do I protect the privacy of each student's academic record and personal information?*
- *Are my grading practices fair and understood by all of my students?*
- *Do I regularly update my teaching materials?*
- *Am I a role model for my students regarding professional values?*
- *Do I acknowledge and support providing student athletes equitable and appropriate opportunities to excel in academic achievement?*

Research Principles and Standards

The University of Connecticut is committed to the highest standards of professional conduct and integrity in research. These standards include honesty, trustworthiness, objectivity, accountability, openness, respect and fairness when dealing with other people, a sense of responsibility towards others and loyalty to the ethical principles espoused by our institution.

The University expects these standards to be maintained by all academic, research and relevant support staff, students and their supervisors and other individuals conducting research or involved in the peer review process within or on behalf of the University. Prompt reporting of violations of human subjects' protection, laboratory safety, or the inhumane treatment of animals in research to the appropriate institutional administrative committees is expected.

We understand that academic freedom is essential to creating an atmosphere in which scholarship flourishes. Promotion of intellectual freedom is not inconsistent with assuring a climate of integrity and the University has the right and the obligation to inquire into all instances of alleged or apparent misconduct in scholarly activities.

Scholarly Integrity

- We properly collect, record and maintain research data.
- We take responsibility for all publications and presentations of which we are author or co-author.
- We appropriately acknowledge, in publications and presentations, those who have contributed to our research.
- We grant access to our research data to co-investigators involved in generating the data.
- We grant reasonable access to our research equipment and resources to other University investigators involved in research.
- We, the University and its faculty, administrators and staff, do not interfere with the research conducted by students or faculty.
- We do not tolerate plagiarism, falsification, or fabrication of research data, or other scientific misconduct.

Human Research

- We abide by all federal and state laws and regulations, in addition to the University's policies and procedures, when performing studies involving human subjects.
- We respect human research participants and are committed to their safety.
- We protect human subjects by securing institutional review and approval for any research.
- We adhere to approved protocols and obtain prospective institutional approval of any changes in those protocols.
- We engage all human subjects, or their appropriate representatives, before initiating a research protocol, in a meaningful informed consent process including explanations of possible risks and benefits.
- We allow potential or current participants to withdraw from a study at any time without prejudice.

- We notify human subjects in a timely fashion of any serious adverse events associated with a human subjects study.
- We conduct appropriate education and training before initiating a human subjects study.

Animal Research

- We abide by all federal and state laws and regulations, in addition to the University's policies and procedures, regarding the care, transport, maintenance and use of animals.
- We are committed to the humane treatment of animals in research.
- We protect research animals by securing appropriate institutional review and approval for any research.
- We adhere to approved protocols and obtain prospective institutional approval of any changes in those protocols.
- We conduct appropriate education and training before initiating animal research.

Laboratory Safety

- We abide by all federal and state laws and regulations, in addition to the University's policies and procedures, concerning laboratory safety.
- We seek prior approval of appropriate University committees when research involves hazardous chemical substances, bio-hazardous materials or radioactive materials.
- We properly document, store, handle, transport and dispose of radioactive, bio-hazardous and hazardous chemical materials, pharmaceuticals and investigative drugs.
- We participate in appropriate education and training before initiating studies involving such materials.
- We comply with all workplace safety and health regulations and will report unsafe conditions, equipment or practices to our supervisors or other appropriate University officials.
- We attend required instructional and training sessions when dictated by funding or oversight agencies.

Research Support

- We use research funds only for their designated purposes.
- We accurately account for time and effort related to research funding.
- We disclose financial conflicts of interest to University administrators and, as appropriate, manage such conflicts in accordance with existing policies and procedures.
- We properly acknowledge sponsorship of research in our publications and presentations.
- We disclose inventions produced from our research to the University so that consideration is given to the protection of intellectual property.

Practical Considerations

- *Do I work safely in the lab?*
- *Have I received training and approval to use research materials?*
- *Have I collected data and documented my research accurately?*
- *Did I face a conflict of interest today? Does it bias my research?*
- *Do I protect the safety and well-being of my human or animal subjects?*
- *Did I obtain proper consent from my human subjects?*
- *Do I respect the privacy of research participants? Do I appropriately protect the confidentiality of their research data?*

Patient Care Standards

Clinicians associated with the Health Center, Storrs and regional campuses and other University health care facilities provide compassionate primary and specialty health care in an academic environment. We focus on delivering quality patient care and fostering continuous improvement through scientific knowledge that is shared with patients, colleagues and the public.

- We, each faculty and staff member involved in patient-related activities, are expected to understand and support the applicable Patient's Bill of Rights and Responsibilities.
- We strive to deliver health care that is based on contemporary scientific knowledge and technology.
- We provide educational resources and opportunity for consultations with other health care programs to assist our patients in the planning of their treatment.
- We offer a comprehensive array of health care services addressing the physical, emotional and spiritual needs of our patients.
- We do not extend or receive payments or benefits in exchange for referrals. Our health care and referrals are based on the well-being of and best treatment for our patients.
- We explain to our patients the importance of the educational mission at the University as it relates to their treatment. Patients have a right to ask members of their health care team about the role of students and residents in their care and to receive complete and accurate information.
- We provide our patients with information necessary to make informed health care decisions, in accordance with existing University policies and procedures. This includes reviewing medical findings with each patient, as well as discussing alternative treatment options and the associated risks and benefits.
- We prepare clear, honest and accurate patient medical documentation in a timely manner. We maintain the confidentiality of this information in accordance with existing University policies and procedures, federal laws and state regulations, including but not limited to the Health Information Portability and Accountability Act (HIPAA).
- We provide clinical facilities and laboratories to support quality care for our patients. We adhere to appropriate policies and procedures to ensure that we retain certification in all aspects of program function as required by institutional, state and federal regulatory agencies.

Practical Considerations

- *Do I demonstrate respect and compassion for my patients and their families?*
- *Do I provide for the physical, emotional and spiritual needs of my patients?*
- *Was the care that I provided today in the best interest of my patients?*
- *Did I answer my patients' questions to the best of my ability or assist them in obtaining the information they requested?*
- *Do I offer all of the needed resources and services to my patients or assist them in making a referral to obtain those services?*
- *Do I respect the privacy of my patients and protect the confidentiality of their health information?*
- *Did I document my patient care thoroughly and accurately today?*

Campus-Wide Standards

The University of Connecticut values all members of its community and recognizes that each person contributes to the overall success of the institution. The University further recognizes that it is through the efforts of its faculty, administrators and staff that it achieves national and international prominence and delivers a world class education to its students. The culture of the University is one of trust, cooperation and collaboration among all its members. We believe all members of the University community are entitled to an environment that nurtures collegiality and mutual respect.

Conduct of Faculty, Administrators and Staff

- Members of the University community shall perform their duties in a fair and ethical manner in accordance with established policies, procedures and regulations.
- Members of the University community shall carry out their duties with professionalism. The University supports the efforts of its faculty, administrators and staff to achieve and maintain professional standards.
- The University provides equal opportunity and access to its employment programs, benefits and services.
- Supervisors have a particular responsibility to support the Code of Conduct and to demonstrate compliance within their units.
- Relationships of an inappropriate personal nature between supervisors and those they supervise are prohibited.

Non-Discrimination

- The University encourages and respects diversity within the university community and does not allow discrimination on the basis of age, race, national origin, religion, disability, sex, sexual orientation or any other characteristic protected by law in any activity or operation of the institution.

Harassment

- The University affirms its dedication to foster a community that condemns all forms of discrimination or acts of intolerance including sexual harassment, intimidation and retaliation.

Confidentiality

- Confidentiality of faculty, staff and student records is respected and maintained in accordance with University policies and procedures, federal laws and state regulations. We use such records for legitimate purposes only and in accordance with proper authorization.

Computer/Telecommunications Use

- The University's computer and telecommunication networks are University resources that are provided to employees, students and volunteers to allow them to carry out the functions of the institution. Those who use the computer and telecommunication networks are responsible for the appropriate use of these resources. We understand, support and abide by the policies concerning the ethical and responsible use of computers and electronic information at the University of Connecticut.

Regulatory Compliance

- The University of Connecticut Office of Audit, Compliance and Ethics strives to ensure that we meet the highest possible standards where relevant federal, state and local regulations, laws and guidelines are concerned. This office supports ethical conduct by all faculty, administrators and staff and requires ongoing monitoring of policies, procedures and practices. Education is a key component of this program.

Health and Safety

- We are responsible for complying with all workplace safety and health regulations and will report unsafe conditions, equipment or practices to appropriate University officials, as required by law.

Conflict of Interest

- We, as employees of the State of Connecticut, adhere to the guidelines set forth in the Connecticut Code of Ethics for Public Officials, as well as the University's Guide to the State Code of Ethics.
- We will not engage in outside activities which will create an actual conflict of interest and will strive to avoid the appearance of a conflict. If faced with a potential conflict of interest, members of the university community should disclose the nature of the conflict to the appropriate parties.
- We do not accept gifts, including food and beverage, from vendors, lobbyists or any other person or entity that is doing business with or seeking to do business with the University unless permitted under the Connecticut Code of Ethics for Public Officials.
- We do not accept secondary employment that will impair our independence of judgment as to our official duties or which will require us to disclose confidential information.
- We will not use our state positions for personal financial gain beyond our official compensation, or for the financial benefit of our family members or domestic partners.
- We will not use state resources for personal use or for use unrelated to our University responsibilities.

Practical Considerations

- *Have I treated others as I wish to be treated?*
- *Do I make discriminatory statements?*
- *Have I used my position to intimidate others?*
- *As a faculty member or staff member, should I accept a gift from a student?*
- *As a supervisor, should I accept a gift from a subordinate?*
- *As a staff member, should I accept a gift from my supervisor?*
- *Do I frequently use my university telephone for personal phone calls?*
- *Do I use my contacts at the University to help my outside business?*
- *What should I do if a vendor offers me a gift as a “thank you”?*
- *Do I maintain appropriate professional relationships with students, colleagues, patients, clients and customers?*
- *Am I aware of any environmental hazard that should be reported?*
- *Do I take shortcuts that create a safety hazard?*

Business, Fiscal and Legal Standards

The University of Connecticut adheres to established business standards in its conduct as an institution of higher education and as a health care provider. We comply with all applicable federal, state and local government laws and regulations and strive to follow ethical business practice standards. We endeavor to conduct all University business with honesty, integrity, accuracy and fairness.

Contracts

- We strive to make all purchasing decisions based on the best interests of and value to the University. The University follows fair business practices in its contracting.
- We recognize the value of obtaining competitive bids when appropriate, maintaining independence, ascertaining the financial and legal status of vendors and obtaining clear written agreements for services or goods to be purchased.
- We comply with all state guidelines regarding procurement activities. We comply with all laws relating to pricing, competition and business arrangements.

Proprietary information

- In the course of doing business, the University creates and receives information that could directly affect the success of its business ventures or those of its current or prospective business partners. If used inappropriately, this information could unduly benefit individuals who have access to such information. The University depends on the ethical business practices and personal integrity of its employees to protect this information from premature or improper use and disclosure.

Physical property and intellectual property, including data

- The University's physical property includes property that is owned by the University but entrusted to individuals or organizational units within the University. Examples include office and departmental equipment and supplies, vehicles, facilities, cash, reports and records, including clinical and billing records in department offices, computer software, electronic files and data, patents, trademarks and service marks.
- We utilize such resources properly and protect property against loss, theft, misuse and waste.
- Research materials, inventions or devices developed through the use of University resources are the property of the University. Rights to such property may be transferred to other parties (such as commercial sponsors) only with express written authorization. Materials subject to copyright are generally not the property of the University.
- Research data are considered the property of the principal investigator or the joint property of collaborating individuals when research data are generated by a principal investigator working in collaboration with one or more faculty colleagues. Research data generated by postdoctoral fellows, graduate students, research trainees or others who have had significant intellectual input, shall be considered the joint property of the collaborating individuals.

Financial Records and Funding Sources

- We understand that the federal and state governments constitute major funding sources for the University in student financial aid, research and other areas. As such, we acknowledge responsibility for the stewardship of such funds, understanding and complying with federal and state laws and regulations.
- We maintain accurate and timely financial records in accordance with the University's policies and Generally Accepted Accounting Principles. We use appropriate internal financial controls to safeguard assets and to ensure compliance with all internal and external accounting rules and regulations. We cooperate fully with internal and external auditors and regulatory agencies during examinations of all books and records and do not alter or destroy any documents in anticipation of such reviews.
- We charge and bill for any service rendered at the University which is properly documented.
- We, as employees of the University, accurately account for our time and properly document when seeking reimbursement for work-related expenses.
- We charge for services that are medically appropriate and documented in the medical record and bill in accordance with applicable laws and third-party payer requirements regarding patient care. All clinical care providers and billing personnel have a collective responsibility to understand the billing code selected and to maintain accurate patient accounts. We only submit claims that we believe to contain accurate information. We correct any billing errors promptly.

Practical Considerations

- *Did I document my work clearly, honestly and accurately?*
- *When I sign a document do I understand what I am signing?*
- *Do I promise business to a potential vendor without considering the competitive bidding process?*
- *Have I signed a contract without obtaining proper authorization?*
- *Am I wasteful of university supplies?*
- *Was I honest with my coding of patient visits today?*
- *Do I share my computer password with others?*

External Relations and University Advancement

Government relations and political activity

- We depend, as a public institution, upon the support and trust of federal and state officials.
- We will not make representations on behalf of the University without official authorization.
- We do not engage in partisan political activities while on state time nor will we use University resources for the purposes of influencing a political election.
- We adhere to federal and state laws which provide guidance for the political activities of the University employees.

Outreach and volunteerism

- The University nurtures, as part of our land and sea grant mission, a close relationship with its immediate neighbors as well as the communities at large.
- The University encourages employees to share their knowledge and expertise with others through interactions in their neighborhoods and beyond.

Public access to University information

- We facilitate accurate, ethical and timely news coverage of significant programs and the achievements of faculty, administrators, staff, students and alumni.
- We comply with all federal and state laws and regulations as well as all University policies regarding the release of information about activities of the University, or its employees, students, volunteers, patients or research subjects, carefully balancing privacy rights with the public's interest.

University Advancement

- We recognize that the process of raising charitable funds requires ethical and sensitive interactions with prospective and current donors. Although we may release general information about alumni or other supporters, we respect an individual donor's intent and honor all requests for anonymity.
- We recognize that the primary responsibility for development of prospective donors lies with the University of Connecticut Foundation. The Foundation staff works in cooperation with offices and departments across the University but which is organizationally independent of the University itself.

Media Relations

- We acknowledge that University Communications in Storrs and the Office of Communications at the Health Center are the University's primary and official liaisons to the news media – international, national, regional, state and local – and that these departments are responsible for initiating, developing and maintaining effective, productive and beneficial relations with the news media in communicating University news and in responding to media requests.

- We respect the individual freedom of faculty, staff and administrators to express their opinions on University actions and policies, while also recognizing that University Communications and the Office of Communications are responsible for coordinating official University comment on all matters regarding the institution.
- We understand that the University encourages its faculty, staff and administrators to serve as members of community panels, boards, civic organizations, professional associations and other similar voluntary associations. An employee assuming such a role is not acting as a spokesperson of the University.

Graphic Standards

- We recognize that University Communications and the Office of Communications are responsible for establishing and maintaining the University's graphic standards and that specific standards apply to the use of the University's logos and seals.
- We understand that the University has legal rights regarding the use of its name, logos and seals and protected trademarks.

Practical Considerations

- *Have I referred media requests to University Communications (Storrs) or the Office of Communications (Health Center)?*
- *Should I talk “off the record” to a reporter?*
- *When is it appropriate to talk to the media about my research or to comment on the research of others?*
- *Should I speak on behalf of the University to government officials regarding University matters?*
- *Can I be identified as a University employee in my political or charitable activities?*
- *Do I maintain clear boundaries between my professional role and my personal activities that are unrelated to the University?*

Resources, Additional Information and Reporting

The University has established the Office of Audit, Compliance and Ethics to oversee its internal audit and compliance programs and to ensure compliance with applicable laws, regulations, policies and procedures.

Obtaining Additional Information, Reporting Compliance Concerns and Non-retaliation Policy

- For additional information please refer to the appropriate website or contact the office at the phone numbers or email addresses noted below. If you wish to report suspected violations of laws, regulations, rules, policies, procedures, ethics or any other information you feel uncomfortable reporting to your supervisor or faculty administrator you may also contact the Office of Audit, Compliance and Ethics directly using the phone numbers or email addresses listed below.

Storrs and Regional Campuses:

Website: www.audit.uconn.edu

Phone: (860) 486-4526

Fax: (860) 486-4527

Email: reportline@uconn.edu

Health Center:

Website: www.uhc.edu/compliance/index.html

Phone: (860) 679-4180

Fax: (860) 679-1608

Email: compliance.officer@uhc.edu

- If you wish to report a concern or a suspected violation anonymously you may contact the University's **REPORTLINE** using the contact information below. The **REPORTLINE** is operated by a private (non-University) company. No effort is made to identify the person reporting and no trace of the call is performed. Information received is given to the Compliance Officer for appropriate action. This service is available 24 hours a day, 7 days a week and is staffed by independent specialists trained to obtain complete and accurate information in a confidential manner. If you wish, you may obtain information about the Compliance Office response to your call by following up with the **REPORTLINE** at a later date. To contact the **REPORTLINE**:

Storrs and Regional Campuses

Phone: 1-888-685-2637

Web reporting address:

<https://www.compliance-helpline.com/uconncares.jsp>

Health Center:

Phone: 1-888-685-2637

Other Reporting Options

- **State Auditors of Public Accounts**

The Whistle Blower Act, [Section 4-61dd](#) of the Connecticut General Statutes, authorizes the Auditors of Public Accounts to receive information concerning matters involving corruption, unethical practices, violation of State laws or regulations, mismanagement, gross waste of funds, abuse of authority or danger to the public safety occurring in any State department or agency. Upon receiving such information the Auditors are required to review such matter and report their findings and any recommendations to the Attorney General. The Auditors shall not, after receipt of any information from a person under the provisions of this section, disclose the identity of such person without his/her consent unless the Auditors determine that such disclosure is unavoidable during the course of the review. You can file a complaint with the Auditors of Public Accounts by calling **(860) 566-1435** or toll free at **(800) 797-1702**. Website: www.state.ct.us/apa/

- **Federal False Claims Act (31 U.S.C. § 3729-3733)**

This act permits a person with knowledge of fraud against the federal government to file a lawsuit on behalf of the government against those that committed the fraud. The person filing the lawsuit is also known as the “whistleblower” or “qui tam” plaintiff. The “qui tam” plaintiff must notify the United States Department of Justice (DOJ) of all information regarding the fraud. If the DOJ takes the case and fraud is proven the “qui tam” plaintiff is entitled to a portion of the money recovered by the federal government. Under the False Claims Act the “qui tam” plaintiff is protected from retaliation that may result from his or her involvement in the case. This is known as Whistleblower Protection.

Non-Retaliation

- University policy prohibits retaliation if you report in good faith a compliance concern to any supervisor, faculty, administrator, the Compliance Office, the **REPORTLINE** or any appropriate agency outside of the University. If you feel that you have been subject to retaliation, you should contact the Compliance Office immediately. The Compliance Office will respond to all reports in a timely manner in order to resolve any non-compliance and to educate regarding compliance concerns.