

## Principles of Responsibility

The University of Louisville is committed to the highest standards of responsible legal and ethical conduct. The continued success and strong public image of the University of Louisville is dependent upon the responsible and ethical conduct of its administrators, faculty and staff. It is the responsibility of the University Community to foster and nurture a culture where integrity in all professional conduct is the foremost aim. In addition, all members of the University Community are responsible to ensure that their behavior and activity is consistent with this commitment, as well as with University policies and procedures, and applicable federal, state and local laws, and regulations.

In the following Principles of Responsibility, we articulate the basic expectations that should guide each of us in our work at University of Louisville. These Principles are presented with the policies and practices from University of Louisville handbooks, manuals, web-sites and other materials. We have endeavored to refine these policies, rules, and guidelines for easy review and access. The Principles are not intended to be a comprehensive catalogue of all applicable rules and policies of the University of Louisville. Rather, these Principles set forth the underlying expectations that we have for the conduct of University activities with the highest standards of integrity and ethics. Useful sites to relevant policies and resources are included.

We urge you to read these Principles closely and familiarize yourself with both the expectations and the resources provided.

Sincerely,

Compliance Oversight Council

As reflected in the policies that are identified below, the University of Louisville has many policies that govern the behavior of all University of Louisville faculty, administration and staff. The ethical expectations contained in these policies are highlighted in the text of the ten principles that follow.

1. Ethical and Responsible Conduct
2. Respect for Others in the Workplace
3. Avoidance of Conflict of Interest
4. Responsible Conduct in Research
5. Responsible Stewardship and Use of University of Louisville Property, Funds, and Technology
6. Safety in the Workplace
7. Respect for Privacy and Confidentiality
8. Appropriate Conduct with Respect to Gifts, Travel, and Entertainment
9. Appropriate Use of the University Name and Logos
10. Responsible Reporting of Suspected Violations and Institutional Response

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1. Ethical and Responsible Conduct

The University of Louisville’s faculty, administration and staff should conduct themselves ethically, with the highest integrity, in compliance with all applicable laws, regulations, and University policies, in all aspects of their work. They should be fair and principled in University business transactions and other related professional activities, acting in good faith when dealing with both internal constituents and external entities. Their conduct should always reflect their positions of trust and loyalty with respect to the University and members of these communities.

Policies, Statements and Guidelines:

Statement of Faculty Responsibility:

<http://louisville.edu/provost/redbook/chap4.html#4a3s1>

University of Louisville Health Sciences Center Code of Ethical Conduct related to Compliance:

<http://louisville.edu/medschool/compliance/CodeofConduct.htm>

Ethical Considerations:

<http://louisville.edu/provost/redbook/chap2.html#SEC2.5.8>

<http://louisville.edu/hr/policies/PER116.html> (PER 1.16)

2. Respect for Others in the Workplace

The University of Louisville recognizes that people are the most important resource for achieving eminence in accomplishing our mission in the areas of teaching, research, community service, and patient care. The University of Louisville is an institution that values academic freedom, diversity and respect for one another. The University of Louisville is committed to the principle of non-discrimination and does not tolerate conduct that constitutes discrimination on any basis, including gender, race, ethnicity, national origin, religion, disability or age.

Policies, Statements and Guidelines:

Academic Freedom:

<http://louisville.edu/provost/redbook/chap2.html#SEC2.5.1>

Diversity:

<http://www.louisville.edu/provost/diversity/policies.html>

Sexual Harassment Policy:

<http://louisville.edu/hr/policies/PER102.html> (PER 1.02)

Acquaintance Rape and Sexual Violence Guidance:

<http://louisville.edu/police/classes/victimassistance.html>

Consensual Sexual Relations Between Faculty and Students:

<http://louisville.edu/hr/affirmativeaction/sexualharassment/consensual.html>

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Workplace violence:

<http://louisville.edu/dehs/emergency/procedures/Workplace%20Violence.pdf/>  
<http://louisville.edu/hr/policies/PER121.html> (PER 1.21)

Drug Free Work place:

<http://louisville.edu/hr/policies/PER115.html> (PER 1.15)

Non-Discrimination:

<http://louisville.edu/hr/policies/PER101.html> (PER 1.01)  
<http://louisville.edu/hr/policies/PER110.html> (PER 1.10)  
<http://louisville.edu/hr/policies/PER502.html> (PER 5.02)

Equal Opportunity/Affirmative Action:

<http://louisville.edu/provost/redbook/chap2.html#SEC2.5.4>  
<http://louisville.edu/hr/policies/PER101.html> (PER 1.01)

Staff Rights:

<http://louisville.edu/hr/policies>

Students Rights:

<http://campuslife.louisville.edu/policies/studentconduct.html/>

3. Avoidance of Conflict of Interest

As more fully stated in the University of Louisville’s conflict of interest policies, the University of Louisville’s faculty, administration and staff should avoid conflicts of interest in work at University of Louisville. As a public non-profit institution, it is imperative for both legal and ethical reasons, that University employees do not improperly benefit from their positions of trust at the University of Louisville. Financial conflicts must be appropriately disclosed in accordance with conflict of interest and conflict of commitment policies, so that they can be reviewed, and as appropriate, managed or eliminated. Faculty, administrators and staff are responsible for disclosing significant interests (both financial and non-financial) and seeking appropriate guidance.

Policies, Statements and Guidelines:

Conflict of Interest – Trustees, Faculty, Staff:

<http://research.louisville.edu/policies/conflictinterest.html>  
<http://louisville.edu/hr/policies/PER103.html> (PER 1.03)

Conflict of Interest – Individual Financial Interests in Research:

[http://www.ori.louisville.edu/Policies/COI\\_PnP.pdf](http://www.ori.louisville.edu/Policies/COI_PnP.pdf)

Conflict of Interest – Institutional Financial Interests in Research:

[http://www.ori.louisville.edu/Policies/ICOI\\_PnP.pdf](http://www.ori.louisville.edu/Policies/ICOI_PnP.pdf)

Guidelines for Extramural Activities:

<http://louisville.edu/provost/redbook/chap4.html#4a3s3> (faculty)  
<http://louisville.edu/provost/redbook/chap5.html#ART5.6> (staff)  
<http://louisville.edu/hr/policies/PER112.html> (PER 1.12)

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Policy Related to Commitment of Effort:  
<http://louisville.edu/provost/redbook/chap4.html#4a3s1>

4. Responsible Conduct in Research

As members of a complex research university, the University of Louisville faculty, administrators and staff have significant responsibility to ensure that research is conducted with the highest integrity, and in compliance with federal, state, and local laws and regulations, as well as University policy.

Policies, Statements and Guidelines:

University Policies and Procedures Relating to Research:  
<http://research.louisville.edu/res-handbook/res-hdbk.html>  
<http://research.louisville.edu/policies/>

Services for Researchers:  
<http://research.louisville.edu/facultystaff/>

Responsible Conduct for Research:  
[http://www.ori.louisville.edu/Policies/RCR\\_Policy.pdf](http://www.ori.louisville.edu/Policies/RCR_Policy.pdf)

Intellectual Property Policy:  
<http://louisville.edu/provost/redbook/chap2.html#SEC2.5.3>  
<http://thinker.louisville.edu/ippolicy.htm>

HSC Medical Compliance Plan:  
<http://www.louisville.edu/medschool/compliance/complianceplan.htm>

Guidelines for Student and Employee Protection in Sponsored Research Projects:  
[http://research.louisville.edu/UHSC/policies/UL\\_Investigators\\_Guide\\_9-19-05.pdf](http://research.louisville.edu/UHSC/policies/UL_Investigators_Guide_9-19-05.pdf)

Guidelines for Designating Funding as a Gift or Sponsored Program:  
<http://research.louisville.edu/policies/designatingfunding.html>

Executive Vice President for Research website: <http://research.louisville.edu/>

Research Involving Animals: <http://louisville.edu/medschool/research/acup/index.htm>

Research Involving Human Subjects: <http://research.louisville.edu/UHSC/>

5. Responsible Stewardship and Use of University of Louisville Property, Funds, and Technology

The University of Louisville faculty, administration and staff are expected to ensure that the University of Louisville property, funds and technology are used appropriately to benefit the institution, consistent with all legal requirements as well as University policies.

Policies, Statements and Guidelines:

Ethics in Purchasing:

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<http://louisville.edu/purchasing/policies/purchasing-2.00.html>  
<http://louisville.edu/purchasing/policies/purchasing-4.00.html>

Purchasing Overview for Newly Appointed Faculty and Staff:  
<http://louisville.edu/purchasing/training> (Purchasing Basics Presentation)

Fiscal Misconduct:  
[http://louisville.edu/compliance/policies/FISCAL\\_MISCONDUCT\\_POLICY.pdf](http://louisville.edu/compliance/policies/FISCAL_MISCONDUCT_POLICY.pdf)

Acceptable Use of Electronic Resources:  
<http://louisville.edu/it/information/topics/computer-account-usage-agreement.html>  
<http://louisville.edu/it/information/policies/internet-acceptable-use-policy.html>  
<http://louisville.edu/it/information/policies/electronic-data-and-voice-mail-disclosure-policy>  
<http://louisville.edu/it/information/policies/cellular-policies.html>

Purchasing (ProCard) and Fleet Fuel Card Program:  
<http://louisville.edu/procard>  
<http://louisville.edu/purchasing/policies/purchasing-12.00.html>  
<http://louisville.edu/purchasing/policies/purchasing-13.00.html>

Surplus of University Equipment:  
<http://louisville.edu/surplus>

Guidelines for Enterprise Activities:  
<http://louisville.edu/vpf/budget/policies/index.html#EnterpriseActivities>

Guidelines for Extramural Activities, Associations, and Interest for Staff:  
<http://louisville.edu/hr/policies/PER112.html> (PER 1.12)  
<http://louisville.edu/provost/redbook/chap5.html#ART5.6>

Management of Endowment Funds:  
<http://louisville.edu/vpf/budget/policies/index.html#ManagementofEndowmentFunds>

Nepotism:  
<http://louisville.edu/hr/policies/PER211.html> (PER 2.11)

Employment of Minors:  
<http://louisville.edu/hr/policies/PER210.html> (PER 2.10)

Financial Reporting:  
 Account Reconciliations: <http://louisville.edu/vpf/controller/policiesprocedures/acctrecongguide.pdf>  
 Effort Reporting Alignment with Annual Workload Assignment:  
<http://louisville.edu/vpf/controller/policiesprocedures/fwlaeffrep.pdf>  
 Expense Transfers: <http://louisville.edu/vpf/controller/policiesprocedures/exptransfer.pdf>  
 Fiscal Year End Closing: <http://louisville.edu/vpf/controller/policiesprocedures/yearend.pdf>  
 Records Retention: <http://louisville.edu/vpf/controller/policiesprocedures/retentionschedule.pdf>  
 Reporting Responsibilities: <http://louisville.edu/vpf/controller/policiesprocedures/finrepresep.pdf>

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Timely Posting of Transactions:

<http://louisville.edu/vpf/controller/policiesprocedures/transreport.pdf>

Transfer of F&A Cost Recovery: <http://louisville.edu/vpf/budget/policies/indcostrec.pdf>

Use of University Funds:

Accounts Payable Checks: <http://louisville.edu/vpf/controller/policiesprocedures/acctpaychecks.pdf>

Accounts Receivable Guidelines:

<http://louisville.edu/vpf/controller/policiesprocedures/acctreceiv.pdf>

Budget Adjustments: <http://louisville.edu/vpf/budget/policies/index.html#BudgetAdjustmentProcess>

Expenditure Authorization: <http://louisville.edu/vpf/controller/policiesprocedures/expandauth.pdf>

Petty Cash Funds: <http://louisville.edu/vpf/controller/policiesprocedures/pettycash.pdf>

Stop Payment on Checks: <http://louisville.edu/vpf/controller/policiesprocedures/stoppaycheck.pdf>

Relationship to State:

<http://louisville.edu/vpf/controller/policiesprocedures/relatontostate.pdf>

6. Safety in the Workplace

The University of Louisville is committed to the protection of the health and safety of the university community and the creation of a safe working environment. To accomplish this end, the University of Louisville provides training in health and safety regulation and policy and the University of Louisville faculty, administration and staff are expected to employ sound practices and comply with University policy, and legal requirements.

Policies, Statements and Guidelines:

Department of Environmental Health and Safety website:

<http://louisville.edu/admin/dehs/>

Laboratory Safety Policy

<http://louisville.edu/dehs/policies/labsafe.html>

Destruction of Select Agents Policy

<http://louisville.edu/dehs/policies/agents.html>

Decommissioning of Laboratories Policy

<http://louisville.edu/dehs/policies/closeout.html>

7. Respect for Privacy and Confidentiality

In their various roles and positions at the University of Louisville, faculty, administration and staff become aware of confidential information of many different types. Such information may relate to students, employees, faculty, staff, alumni, donors, research sponsors, licensing partners, patients, and others. The University of Louisville faculty, administration and staff are expected to inform themselves about applicable legal, contractual, and policy obligations to maintain the confidentiality of such information, so as to protect it from improper disclosure, and to protect the privacy interests of members of our community.

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Policies, Statements and Guidelines:

Privacy of Personal Information (Policy Related to Information):  
 GLBA Privacy Statement <http://louisville.edu/vpf/bursar/privacy.htm>

Confidentiality of Employee Records:  
<http://louisville.edu/hr/policies/PER105.html> (PER 1.05)

Guidelines on the Confidentiality of Student Records:  
<http://library.louisville.edu/uarc/stupriv/guidpriv.htm>

University of Louisville Policies regarding HIPAA:  
<http://privacy.louisville.edu/privacy/index.htm>  
[http://www.ori.louisville.edu/Policies/Research\\_Authorization\\_Policy\\_09-08-04.pdf](http://www.ori.louisville.edu/Policies/Research_Authorization_Policy_09-08-04.pdf)

University of Louisville Information Security Policies: <http://security.louisville.edu/PolStds>

More information on privacy can be obtained at:  
<http://privacy.louisville.edu/>

8. Appropriate Conduct with Respect to Gifts, Travel, and Entertainment

The University of Louisville faculty, administration and staff are expected to conduct themselves so as to ensure that their positions are not misused for private gain, with respect to acceptance of gifts and the undertaking of university-related travel and entertainment.

Policies, Statements and Guidelines:

Travel and Entertainment:  
<http://louisville.edu/vpf/controller/acctops/travel/index.html>

9. Appropriate Use of the University Name and Logos

The University of Louisville regulates the use of its name, seal and related trademarks and logos in order to protect the University’s reputation, and to ensure that their use is related to the University’s educational, research, community service, and teaching missions. Faculty, administration and staff are expected to protect the University name and logos from improper use.

Policies, Statements and Guidelines:

Use of the University’s Name, Seal, Related Trademarks and Logos:  
[http://php.louisville.edu/advancement/ocm/identity/logo\\_application.php](http://php.louisville.edu/advancement/ocm/identity/logo_application.php)

10. Responsible Reporting of Suspected Violations and Institutional Response

The University of Louisville faculty, administration and staff are expected to report suspected material violations of University policies, as well as violations of applicable laws and regulations, to appropriate offices, as set forth in the various policies. The University of Louisville faculty, administration and staff may be subject to discipline in accordance with the Redbook and University policy.

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Policies, Statements and Guidelines:

Non-Retaliation/Non-Retribution Policy:

[http://louisville.edu/compliance/policies/Non-Retaliation\\_Policy](http://louisville.edu/compliance/policies/Non-Retaliation_Policy)

Termination and Separation Policies:

Procedure Governing Sanctions Taken Against Members of the Administration:

<http://louisville.edu/provost/redbook/chap2.html#ART2.3>

Procedure Governing Sanctions Taken Against Members of the Faculty:

<http://louisville.edu/provost/redbook/chap4.html#4a5>

Procedure Governing Sanctions Taken Against Members of the Staff:

<http://louisville.edu/hr/policies/PER414.html> (PER 4.14)

<http://louisville.edu/hr/policies/PER501.html> (PER 5.01)

Research Policy Violations and Misconduct:

[http://www.ori.louisville.edu/Policies/Research\\_Sanctions\\_Policy.pdf](http://www.ori.louisville.edu/Policies/Research_Sanctions_Policy.pdf)

[http://www.ori.louisville.edu/Policies/Misconduct\\_PnP.pdf](http://www.ori.louisville.edu/Policies/Misconduct_PnP.pdf)

Violations of Purchasing Policies:

<http://louisville.edu/purchasing/policies/purchasing-3.00.html>

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Compliance Helpline (1-877-852-1167): For reports related to any questionable practices. Visit the Institutional Compliance Office website at <http://louisville.edu/compliance/helpline> for further information.

Confidential Web Reporting: Select the “Compliance Helpline Reporting” option on ULink (in the External Links section under the Faculty & Staff Tab)

University of Louisville Resource Offices

Governance

Office of the Provost	502-852-6153
Office of the President	502-852-5417
Executive Vice President for Health Affairs	502-852-5184
Executive Vice President for Research	502-852-8372
Board of Trustees	502-852-5419

General

Academic Affairs	502-852-6153
Affirmative Action	502-852-6688
Athletic Compliance	502-852-5732
Audit Services	502-852-6063
Bursar	502-852-6503
Business Affairs	502-852-6163
Controller’s Office	502-852-8233
Financial Reporting and University Accounting	502-852-8234
Sponsored Programs, Endowments, Gifts	502-852-8251
Environmental Health and Safety	502-852-6670
External Relations	502-852-6026
Faculty Grievance Officer	502-852-0306
Finance	502-852-6166
HIPAA	502-852-3803
Human Resources	502-852-6258
Information Security	502-852-4363
Information Systems and Computing	502-852-6118
Institutional Compliance	502-852-8305
Medical Billing Compliance Information	502-852-2993
Medical Compliance	502-852-7969
Physical Plant	502-852-8185
Public Safety	502-852-6111
Purchasing	502-852-6247
Risk Management	502-852-6925
Staff Grievance Officer	502-852-3249
Student Affairs	502-852-6933
Student Grievance Officer	502-852-6102
University Counsel	502-852-6981
University Relations	502-852-6026

Research

Animal Care and Use Program	502-852-7307
Environmental Health and Safety	502-852-6670
Grants Management	502-852-8367 (Belknap); 502-852-3788 (HSC)
HIPAA – Privacy	502-852-3803
Human Subjects Protection Program	502-852-5188
Industry Contracts	502-852-8359
Information Security	502-852-4363
Radiation Safety Office	502-852-5231
Research Integrity Ombudsperson	502-852-0455 (Belknap); 502-852-1296 (HSC)
Research Integrity Program	502-852-2454
Sponsored Programs Development	502-852-6512
Technology Transfer	502-852-2965

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