# University of Louisville
# Code of Conduct

## SCOPE

The Code of Conduct (Code) applies to the following members of the University of Louisville (University) community:

- members of the Board of Trustees;
- faculty, staff, and administration;
- any individual employed by the University, using University resources or facilities, or receiving funds administered by the University;
- any individual not employed by the University but covered under the University of Louisville Health Sciences Center Compliance Plan; and
- volunteers and other representatives when speaking or acting on behalf of the University.

The Board of Trustees is governed by BOT 1.0 Policy Statement, Article 1.1. Ethics Statement.

Students taking courses, attending classes, or enrolled in academic programs are governed by the Code of Student Rights and Responsibilities and Code of Student Conduct.

This Code reflects Board and University policies and procedures.  It does not create additional or different rights or duties.

## GUIDING PRINCIPLES

**Values.** Members of the University of Louisville community share these core values:

- enthusiasm for discovery and innovation;
- honesty and rigor in all pursuits;
- adherence to free inquiry and critical thinking;
- commitment to the creation, preservation and dissemination of knowledge;
- dedication to preparing students for what the future has to offer;
- advancement of the life quality and economic welfare of the region and beyond;
- respect for diversity and all individuals regardless of position;
- professionalism in our interactions;
- accountability for resources and relationships;
- transparency and integrity in decision-making;
- leadership through shared governance; and
- pride in our association with the University.

**Ethical Considerations.** It is expected that every employee, in conducting the affairs of the University of Louisville, will comply with applicable federal, state, and local laws as well as the policies and procedures of the University of Louisville. The standards of conduct in this Code of Conduct, supported through policies, procedures, and workplace rules, provide guidance for making decisions and memorialize the institution's commitment to responsible behavior.

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- All employees of the University of Louisville who are members of occupations or professions having established standards of conduct shall, in addition to any obligations and responsibilities imposed by this document, be bound by the standards of conduct applicable to such occupations or professions.
- Violations of the above may result in disciplinary action in accordance with the provisions of the Redbook.

## STANDARDS OF CONDUCT

The University holds itself and community members to the following standards of conduct:

**Act Ethically and with Integrity.** Ethical conduct is a fundamental expectation for every community member. In practicing and modeling ethical conduct, community members are expected to:

- act according to the highest ethical and professional standards of conduct;
- be personally accountable for individual actions;
- conscientiously fulfill obligations towards students, advisees, colleagues, and in performing duties as part of the University community; and
- communicate ethical standards of conduct through instruction and example.

**Be Fair and Respectful to Others.** The University is committed to tolerance, diversity, and respect for differences. When dealing with others, community members are expected to:

- be respectful, fair, and civil;
- speak candidly and truthfully;
- avoid all forms of harassment, illegal discrimination, threats, or violence;
- provide equal access to programs, facilities, and employment; and
- promote conflict resolution.

**Manage Responsibly.** The University entrusts community members who supervise or instruct employees or students with significant responsibility. Managers, supervisors, instructors, and advisors are expected to:

- ensure access to and delivery of proper training and guidance on applicable workplace and educational rules, policies, and procedures, including this Code of Conduct;
- ensure compliance with applicable laws, policies, and workplace rules;
- review performance conscientiously and impartially;
- foster intellectual growth and professional development; and
- promote a healthy, innovative, and productive atmosphere that encourages dialogue and is responsive to concerns.

**Protect and Preserve University Resources.** The University is dedicated to responsible stewardship. Community members are expected to:

- use University property, equipment, finances, materials, electronic and other systems, and other resources only for legitimate University purposes;
- prevent waste and abuse;

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- promote efficient operations;
- follow sound financial practices, including accurate financial reporting, processes to protect assets, and responsible fiscal management and internal controls; and
- engage in appropriate accounting and monitoring.

**Promote a Culture of Compliance.** The University is committed to meeting legal requirements and to fostering a culture of ethics and compliance.

(a) Expectations – Community members are expected to:
  a. learn and follow the laws, regulations, contracts, and University policies and procedures applicable to University activities;
  b. be proactive to prevent and detect any compliance violations;
  c. report suspected violations to supervisors or other University officials; and
  d. ensure that reports of violations within their area of responsibility are properly resolved, including disclosure to sponsors or other state or federal authorities as appropriate.
(b) Prohibition - Community members are prohibited from retaliating against another community member for reporting a suspected compliance violation.

**Preserve Academic Freedom and Meet Academic Responsibilities.** Academic freedom is essential to achieving the University's mission. Community members are expected to:

- promote academic freedom, including the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression, and to speak or write as a public citizen without institutional restraint or discipline; and
- meet academic responsibilities: to seek and state the truth as they see it; to develop and maintain their scholarly competence; to foster and defend intellectual honesty, and freedom of inquiry and instruction; to respect those with differing views; to submit their knowledge and claims to peer review; to work together to foster the education of students; and to acknowledge when they are not speaking for the institution.

**Ethically Conduct Teaching and Research.** University researchers have an ethical obligation to the University and to the larger global community as they seek knowledge and understanding. Community members are expected to:

- propose, conduct and report research with integrity and honesty;
- protect people involved in research or teaching;
- humanely treat animals involved in research or teaching;
- learn, follow, and demonstrate accountability for meeting the requirements of sponsors, regulatory bodies, and other applicable entities;
- faithfully transmit research findings;
- protect rights to individual and University intellectual property;

- ensure originality of work, provide credit for the ideas of others upon which their work is built, and be responsible for the accuracy and fairness of information published; and
- fairly assign authorship credit on the basis of an appropriate array of significant intellectual contributions, including: conception, design, and performance; analysis and interpretation; and manuscript preparation and critical editing for intellectual content.

**Avoid Conflicts of Interest and Commitment**. Community members have an obligation to be objective and impartial in making decisions on behalf of the University. To ensure this objectivity, community members are expected to:

- avoid actual individual or institutional conflicts of interest;
- disclose potential conflicts of interest and adhere to any management plans created to eliminate any conflicts of interest; and
- ensure personal relationships do not interfere with objective judgment in decisions affecting University employment or the academic progress of a community member.

**Carefully Manage Public, Private, and Confidential Information.** Community members are the creators and custodians of many types of information. The public right to access and the individual's right to privacy are both governed by laws and University policies. To meet these responsibilities, community members are expected to:

- learn and follow laws and University policies and agreements regarding access, use, protection, disclosure, retention, and disposal of public, private, and confidential information;
- follow document preservation and retention guidelines; and
- maintain data security using electronic and physical safeguards.

**Promote Health and Safety in the Workplace.** Community members have a shared responsibility to ensure a safe, secure, and healthy environment for all University students, faculty, staff, volunteers, and visitors. Community members are expected to:

- follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, and reporting accidents, injuries, and unsafe situations;
- maintain security, including securing University assets and facilities;
- report suspicious activities; and
- protect the environment, including carefully handling hazardous waste and other potentially harmful agents, materials, or conditions.

## DELEGATION OF AUTHORITY

The president or delegate shall ensure that appropriate administrative policies are maintained to support this Code and shall effectively promulgate this Code and any supporting administrative policies or procedures through appropriate and periodic explanation, education, and evaluation.

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More information can be found on the University Integrity and Compliance Office web page on the Code of Conduct and key related policies at *https://louisville.edu/compliance/ico/code/code*.

**REFERENCES**

University of Minnesota Code of Conduct

**HISTORY**

The Board of Trustees approved the Code of Conduct on November 12, 2009 with an effective date of January 1, 2010.

Revision Date(s):

February 1, 2023 / Minor Revisions