

Information

Supplier Code of Conduct

Number

PUR 17 00

Applicability

This policy applies to University Administrators Faculty and Staff

Administrative Authority

Vice President for Finance and Chief Financial Officer

Responsible Unit

Sally Molsberger, Chief Procurement Officer

Procurement Services, Service Complex, University of Louisville

Louisville, KY 40292

502-852-8223

purchase@louisville.edu

History

Original Date: Unknown

Revision Date(s): December 15, 2017; February 20, 2019; February 13, 2023

Reviewed Date(s): December 15, 2017; January 3, 2023

Categories

Statement:

The University of Louisville is committed to conducting its contract administration and procurement business in an ethical, legal, and socially responsible manner. The University expects its suppliers to share in this commitment and; therefore, has established a **Supplier Code of Conduct**. All University suppliers must meet the minimum requirements in order to do business with the University.

Related Information:

Labor Practices

All suppliers to the University of Louisville are expected to adopt sound labor practices and treat their workers fairly in accordance with local laws and regulations. In addition, suppliers must comply with the following standards:

- Fair Trade Practices - Suppliers shall not engage in collusive bidding, price fixing, price discrimination or other unfair trade practices in violation of antitrust laws.
- Bribery, Kickbacks and Fraud - No funds or assets of the supplier shall be paid, loaned, or otherwise disbursed as bribes, "kickbacks," or other payments designed to influence or compromise the conduct of the University.
- Foreign Corrupt Practices Act - While laws and customs vary throughout the world, all suppliers must comply with foreign legal requirements and United States laws that apply to foreign operations, including the Foreign Corrupt Practices Act. The Foreign Corrupt Practices Act generally makes it unlawful to give anything of value to foreign government officials, foreign political parties, party officials, or candidates for public office for the purposes of obtaining or retaining business.
- University Policies and Procedures - Suppliers must comply with the University's published [policies and procedures](#), including, but not limited to, the University's [Conflict of Interest](#) and Procurement [Code of Ethics](#) policies.
- Intellectual Property Rights - Suppliers shall respect the intellectual property rights of others, especially the University, its affiliates and business partners. Suppliers shall take appropriate steps to safeguard and maintain confidential and proprietary information of the University and shall use such information only for the purposes specified for use by the University. Suppliers shall observe and respect all University patents, trademarks and copyrights and comply with all requirements as to their use as established by the University. Suppliers shall not transmit confidential or proprietary information of the University via the internet unless such information is encrypted in accordance with minimum standards established by the University.

Export Sanctions and Terrorism Activities

All suppliers to the University of Louisville must abide by all economic sanctions or trade embargoes that the United States has adopted, whether they apply to foreign countries, political organizations or particular foreign individuals and entities. Suppliers should not directly or indirectly engage in or support any terrorist activity.

Neither suppliers nor any of their affiliates, nor any officer or director of the supplier or any of its affiliates, should be included on any lists of terrorists or terrorist organizations compiled by the United States government or any other national or international body, including but not limited to: (i) the U.S. Treasury Department's Specially Designated Nationals List, (ii) the U.S. State Department's Terrorist Exclusion List, (iii) the United Nations List Pursuant to Security Council Resolution 1390 (2002) and Paragraphs 4(B) or Resolution 1267(1999) and 8(C) of Resolution 1333 (2000), and (iv) the European Union List Implementing Article (2)(3) of Regulation (EC) No. 2580/2001 on Specific Restrictive Measures Directed Against Certain Persons and Entities with a View to Combating Terrorism.

Unauthorized Solicitations

All suppliers to the University of Louisville must comply with all guidelines issued by the University relating to access to University facilities, offices and departments, and employees. No Supplier shall use the University's computer system, including its electronic mail system and internet site, for the purpose of sending unsolicited electronic mail messages to the University community. Suppliers are not permitted to use the University's mail system for unauthorized solicitation to employees. Suppliers must receive prior written authorization from the University's Contract Administration and Procurement Services Office to hold on-campus trade shows, exhibits, or product demonstrations.

Monitoring and Compliance

All suppliers to the University of Louisville must conduct periodic audits and inspections to ensure their compliance with this University Supplier Code of Conduct and applicable legal requirements. If a supplier identifies areas of non-compliance, the supplier agrees to notify the Contract Administration and Procurement Services Office as to its plans to remedy any such non-compliance.

The University or its representatives may engage in monitoring activities to confirm Supplier's compliance to this Supplier Code of Conduct, including on-site inspections of facilities, use of questionnaires, review of publicly available information, or other measures necessary to assess supplier's performance. Any University supplier or University employee that becomes aware of violations of this policy is obligated to notify the Contract Administration and Procurement Services Office. Based on the assessment of information made available to the University, the University of Louisville reserves the right (in addition to all other legal and contractual rights) to disqualify any potential supplier or terminate any relationship with any current supplier found to be in violation of this Supplier Code of Conduct without liability to the University.

Environmental Practices

All suppliers to the University of Louisville shall comply with all environmental laws and regulations applicable to their operations worldwide. Such compliance shall include but not be limited to, among other things, the following items:

- Obtaining and maintaining environmental permits and timely filing of required reports.
- Proper handling and disposition of hazardous materials.
- Monitoring, controlling and treating discharges generated from operations.

Occupational Health and Safety Practices

All suppliers to the University of Louisville are expected to provide their employees with a safe and healthy working environment in order to prevent accidents and injury to health arising out of, linked with, or occurring in the course of work or as a result of the operation of the supplier. Suppliers shall, among other things, provide:

- Occupational health and safety training.
- A system for injury and illness reporting.
- Medical treatment and/or compensation to injured/ill workers arising as a result of working for supplier.
- Machine safeguarding and other protective measures to prevent injuries/illnesses to workers.
- Clean and safe facilities.

Related Links:

[Purchasing Policies](#)

[University's Conflict of Interest](#)

[Code of Ethics in Purchasing](#)

[Procurement and Contract Authority](#)

University of Louisville [Purchase Order Terms and Conditions](#)

[No Idling Policy](#)

Reasoning:

Compliance with Laws, Regulations and Published Standards

All suppliers to the University of Louisville must comply with all applicable laws, codes or regulations of the countries, state, and localities in which they operate. This includes, but is not limited to, laws and regulations relating to environmental, occupational health and safety, and labor practices. In addition, University suppliers must require their suppliers (including temporary labor agencies) to do the same. Firms should be registered and authorized to do business in the Commonwealth of

Kentucky by registering with the Kentucky Secretary of State.