

**United Way of Benton & Franklin Counties**  
**Code of Ethics-Conflict of Interest Policy**

(Approved: 01/2009, Revised 1/9/17)

United Way of Benton & Franklin Counties (UWBFCO) is committed to the highest ethical standards. We have an obligation to act ethically based on the unique trust placed in UWBFCO to serve the public good. The success of our organization depends upon the ethical conduct of everyone affiliated with UWBFCO. The Board of Directors, key volunteers and staff set an example by their high standards of performance, professionalism, and ethical conduct.

This Code of Ethics is based on our mission and communicates key guidelines to will assist board members, volunteers, and staff in making good decisions that are ethical and in accordance with applicable legal requirements. All are encouraged to discuss any questions or concerns regarding this policy with the President and CEO or Chair of the Board.

**PERSONAL AND PROFESSIONAL INTEGRITY** – A personal commitment to integrity in all circumstances benefits each individual as well as the organization. We therefore:

- Meet high standards of performance, quality, service and achievement in working towards the United Way mission;
- Communicate honestly, openly and avoid misrepresenting United Way;
- Promote a working environment where honesty, open communication and minority opinions are valued;
- Exhibit respect and fairness toward all those with whom we come into contact.

**ACCOUNTABILITY** – As a United Way, we are responsible to our stakeholders, which include fund recipients, donors, community partners, and others who have placed trust in us. To uphold this trust we:

- Will be good stewards of UWBFCO resources, including donations, grants, in-kind gifts, and all other revenues;
- Use organizational resources only for UWBFCO purposes;
- Observe and comply with all laws and regulations affecting UWBFCO and our operations;
- Distribute dollars to programs that serve our community, demonstrate accountability in their operations, and provide meaningful, measurable results as determined through a comprehensive review process;
- Demonstrate openness by timely posting financial information to our website and promptly responding to requests.

**SOLICITATIONS AND VOLUNTARY GIVING** – The most committed donors are those who are informed, involved, and appreciated. We therefore:

- Promote voluntary giving of money and time for the benefit of the community;
- Refrain from any use of coercion in fundraising activities. UWBFCO encourages board members, key volunteers, and staff to ask for contributions after communicating the benefits and value of contributing to UWBFCO.

**DIVERSITY AND EQUAL OPPORTUNITY** – UWBFCO is an equal opportunity employer and is committed to the principle of diversity and inclusion. We therefore:

- Value, support, and embrace diversity in all aspects of UWBFCO activities and respect others without regard to any legally protected status. United Way maintains an organizational culture that reflects awareness and sensitivity to individual abilities and appreciation of differences;
- Support inclusion and equal employment opportunity;
- Refuse to engage in or tolerate any form of discrimination or harassment.

**CONFLICTS OF INTEREST** – Conflicts of interest are inevitable in any community; however, the UWBFCO must assure that such conflicts do not diminish the reputation or the achievement of UWBFCO mission and objectives. A conflict of interest occurs when a person's individual interest in a situation differs from his or her obligations (reflected in their conduct or decision-making) to the organization for which he or she works or volunteers. Such conflicts would be actions or decisions that an independent observer might reasonably question. This behavior would call into question the professional objectivity and ethics of the individual and also compromises the integrity of the organization. UWBFCO board members, volunteers, and staff will therefore:

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- Refrain from engaging in activities that create actual, perceived, or potential conflicts of interest;
- Disclose any financial, personal or professional interests relating to activities that create or could create actual, perceived, or potential conflicts of interest;
- Refrain from participation in any discussion and abstain from voting or making decisions on matters relating to those conflicts. Conflicts and abstentions will be noted in meeting minutes;
- Disclose fully any situation that may be in doubt. Disclosure relates not only to one's self, but also to one's related parties. (i.e. spouse, children, parents or partner).

Disclosure does not necessarily mean that a conflict exists. The UWBFCO President and CEO will determine if the disclosure is an actual conflict and may seek legal consultation if necessary. The conflict will be noted for future business decisions.

**CONFIDENTIALITY AND PRIVACY** – Confidentiality is a fundamental quality of professionalism. We therefore:

- Ensure that all information, which is confidential, privileged or nonpublic, is not disclosed inappropriately;
- Refrain from use of information acquired in the course of volunteering or work for personal gain;
- Respect the privacy rights of all individuals in the performance of their UWBFCO duties.

**POLITICAL CONTRIBUTIONS** – UWBFCO policy is to not make contributions to candidates or political committee or to intervene in any political campaign for public office. We therefore:

- Refrain from using UWBFCO resources for political activities;
- Refrain from political activities that create the appearance the activity is by or on behalf of UWBFCO.

**GUIDANCE AND DISCLOSURE** – Board members, key volunteers, and staff are encouraged to seek guidance concerning the interpretation of this policy. Any known or possible breaches should be disclosed as follows: board member should contact the President and CEO or Chair of the Board; staff and key volunteers should contact a supervisor, the President and CEO or Chief Operating Officer. Reports of breaches will be managed as follows:

- Treat breaches confidentially unless the investigation or law requires disclosure;
- Investigate all reported breaches based upon United Way policies, take appropriate action;
- Prohibit retaliation against an individual who reports a breach in good faith and treat any retaliation as another breach of this policy;
- Commit to prompt and fair resolution of all reported breaches.

**ANNUAL VERIFICATION** – Board members, key volunteers, and staff shall annually complete the certification form confirming they have read and understand the Code of Ethics-Conflict of Interest Policy and shall disclose existing, new, or potential conflicts.

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**DEFINITIONS**

- **Immediate family members:** An individual’s spouse, domestic partner, children, parents, siblings, and spouses of children and siblings.
- **Key Employee:** For the purposes of this policy, key employees are defined as the President and CEO, the Chief Operating Officer, and the Chief Financial Officer.
- **Related parties:** Spouse, domestic partner, children, parents, siblings, and spouses of children; an organization of which there is a formal relationship between you or your immediate family members such as: board member; officer; partner; participate in management; or employment.
- **Key Volunteers:** All members of the UWBFCO Board of Directors and committees appointed by the Board of Directors or who act under their direction, who perform their duties without compensation. Campaign ambassadors and office volunteers are also considered key volunteers for the purposes of this policy.

**ILLUSTRATIONS:** These examples are not all-inclusive but are intended to provide general guidance regarding the types of conflicts that should be disclosed:

- **Outside Interest:** To have a material financial interest in any outside organization which the individual has reason to believe makes payments to, or receives payments from, UWBFCO for goods or services. (Example: Ownership of a company that sells supplies or services to, or serving on the board of a current or potential\ funded service provider.)
- **Outside Activities:** To provide paid or unpaid board of director, management or consultation services to any person or organization that does business with UWBFCO. To engage in any financial transaction with any person or organization that does business with UWBFCO. (Example: UWBFCO volunteer serving on an agency board that receives UWBFCO funding.)
- **Gifts and Entertainment:** To accept gifts, entertainment or other favors from any person or organization that does, or is seeking to do business with UWBFCO if the gifts or entertainment were intended to influence or would influence the individual in the performance of his or her duties. (Example: Accepting gifts, dinners, trips, event tickets, etc. valued in excess of \$25 which are given to influence a business decision.)
- **Inside Information:** To disclose or use information relating to UWBFCO business for personal profit or advantage. To influence the selection of staff, consultants, or vendors who are related parties or have a financial interest that adversely affects the appearance of fairness. (Example: Notifying a potential funded service provider about future UWBFCO funding decisions prior to public notification.)
- **Use of UWBFCO Resources:** Use of equipment, facilities, personnel or other resources of UWBFCO for personal or one’s related parties benefit. (Example: Use of administrative services, computers, copiers, etc., for personal business.)

**Code of Ethics-Conflict of Interest Policy Certification**

Complete, sign, and return this certificate to the UWBFCO President and CEO. The President and CEO will determine if disclosures are actual conflicts. Conflicts will be noted for future business decisions. This certificate will be kept on file for the duration of the board member’s term, the key volunteer’s active status, or the staff member’s employment. Fully disclose any situation about yourself or your related parties that may be in doubt. Disclosure does not necessarily mean that a conflict exists.

1. NAME OF BOARD MEMBER, KEY VOLUNTEER, OR STAFF: \_\_\_\_\_
2. CAPACITY:   \_\_\_ Board Member    Board Officer title, if applicable \_\_\_\_\_  
                  \_\_\_ Key Volunteer     \_\_\_ Non-Board Committee Member  
                  \_\_\_ Paid Staff       Staff title \_\_\_\_\_

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	YES	NO
Do you or any of your related parties have a material financial interest in any outside organization which you have reason to believe has made payments to UWBFCO for goods or services in the past year?		
Do you or any of your related parties have a material financial interest in any outside organization which you have reason to believe received payments from UWBFCO for goods or services in the past year?		
Do you have a family relationship or a business relationship with any other officer, director, trustee, or key employee?		
In the past year, did you or any of your related parties receive any gifts, entertainment or other favors valued in excess of \$25 as a result of your relationship with UWBFCO (excluding staff wages and benefits)?		
Do you or any of your related parties have an interest in any pending legal proceedings involving UWBFCO?		
Do you or any of your related parties sit on a board or committee, or manage or are employed by any agencies that UWBFCO funds or has funded in the past year?		
Are you aware of any other events, transactions, arrangements or other situations that have occurred or may occur in the future that you believe should be examined by UWBFCO President and CEO in accordance with the terms and intent of UWBFCO Conflict of Interest Policy?		

If you answered YES to any of the above questions, please explain below:

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I understand that each UWBFCO board member, key volunteer, and staff is responsible for adhering to the fundamental values and standards set in this policy. I have read and understand this policy and my responses to the above questions are complete and correct to the best of my knowledge. If I become aware of any information that might indicate this disclosure is inaccurate or that I have not complied with this policy, I will immediately notify the President and CEO or Chair of the Board.

I agree to conduct myself in accordance with the fundamental values and standards of this Code of Ethics-Conflict of Interest Policy.

I understand that this certification process is mandatory for all UWBFCO board members, key volunteers, and staff.

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Conflict Determination** (This Section for Office Use Only):

- Yes, a conflict is determined to exist.
- No, a conflict does not exist.
- Board Member, Key Volunteer, or Staff notified of final determination.

\_\_\_\_\_  
President and CEO Signature

\_\_\_\_\_  
Print Name of Legal Reviewer

\_\_\_\_\_  
Date Notified

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date Reviewed

\_\_\_\_\_  
Date/Initials Entered in Andar