



## **CODE OF ETHICS – CONFLICT OF INTEREST UNITED WAY OF THE DUTCHESS ORANGE REGION**

**Approved by the Board of Directors  
February 09, 2021**

United Way of the Dutchess-Orange Region (UWDOR) is synonymous with charitable service. The general public associates the UWDOR name with worthy causes throughout the community. Indeed, for many people UWDOR is the primary way they meet their desire to help their fellow human beings.

UWDOR has a unique role as a leader of local philanthropy to benefit human services. Throughout Mid-Hudson Valley, UWDOR has earned public trust, nurtured by years of ethical, honest, and responsible charitable service. The continued success of UWDOR depends upon the ethical conduct of its employees and representatives.

UWDOR places the highest priority on its relationship with the community. As part of this relationship, UWDOR responds to, serves and supports programs working to increase the organized capacity of people to care for one another. In an effort to achieve this goal, UWDOR strives to create a vision and direction that will generate leadership and encourage individuals to be the best they can be in their community.

UWDOR employees set an example for other non-profit organizations by their high standards of performance, professionalism, volunteer and charitable activities, and ethical conduct.

This Code of Ethics is the policy of UWDOR and expresses fundamental values. Accordingly, this Code guides the conduct of all employees and representatives of UWDOR, and is intended to foster an environment that promotes ethical conduct in carrying out their responsibilities.

### **PERSONAL INTEGRITY**

A personal commitment to integrity in all circumstances benefits each individual as well as the organization. UWDOR employees:

- Respect and seek out the truth and avoid misrepresentation.
- Ensure fairness and objectivity in all activities.
- Set an example, as employees of a leading non-profit organization, for high standards of professionalism.
- Honor the right of privacy of all people, including co-workers, contributors, and beneficiaries.
- Promote public confidence in philanthropic institutions.

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## PROFESSIONAL EXCELLENCE

As an employer, UWDOR promotes professional excellence and encourages open and honest communication among all employees to create an atmosphere conducive to personal growth and career development.

UWDOR's management:

- Encourages employee development, and communicates with personnel to help them achieve their goals and increase their self-esteem through job enrichment;
- Evaluates employees on a fair and consistent basis, so that all employees know what is expected of them and how they are progressing toward fulfilling expectations;
- Shows respect and empathy for employees and is considerate while being mindful of managerial responsibilities; and
- Regularly solicits and respects employee opinions.

UWDOR employees:

- Strive to meet performance standards at the highest level;
- Refuse to engage in or tolerate any fraud, misuse, or abuse of UWDOR resources;
- Encourage growth and self-improvement in themselves and their co-workers;
- Exhibit respect for co-workers and all those they come into contact with;
- Examine all alternatives with the understanding that the easiest action is not always in the best interest of the organization;
- Comply with all laws and regulations affecting the organization and their personal obligations; and
- Discuss any questions concerning interpretations or compliance with the code of ethics with their supervisor, the President, or the Chair of the Board of Directors.

Initial: \_\_\_\_\_

Date: \_\_\_\_\_



## ACCOUNTABILITY AND EFFICIENCY

UWDOR has responsibilities to its customers, which include local donors and other stakeholders. These customers have placed faith in UWDOR. To uphold this trust, UWDOR:

- Makes full and fair disclosure of all relevant information to customers, who have a right to know how their dollars are spent;
- Spends customers' money wisely, efficiently, and objectively; and
- Is a good steward of contributions utilized by UWDOR to pay operating expenses, salaries and employee benefits, and refrains from allowing expenditures of UWDOR funds that by their nature or amount do not directly advance UWDOR's mission.

## VOLUNTARY GIVING

The most responsive contributors are those who have the opportunity to become informed and involved. Fundraising is always conducted in a voluntary manner; coercion creates animosity, hinders communications and understanding, and eventually leads to decreased support.

The coercion of donors - whether real or implied - is contrary to the operating principles of UWDOR. Giving is a personal matter and decision; no form of coercion is acceptable.

## RESPONSIBILITIES TO VOLUNTEERS

Volunteers who serve the UWDOR, through its Board of Directors or otherwise, are crucial to the success of UWDOR. In order to assist volunteers to serve effectively and to obtain satisfaction from their service, UWDOR staff:

- Support volunteers so they can perform to the highest level of their contribution and personal satisfaction;
- Treat all volunteers with fairness, equity and respect, providing appropriate mechanisms for their views and interests to be expressed;
- Involve volunteers at appropriate levels and phases of the decision-making process;
- Assist in the development and the understanding of the roles of volunteers and employees, respectively; set clear standards of performance for volunteers; and appropriately recognize their contributions with gifts of nominal value.

Initial: \_\_\_\_\_

Date: \_\_\_\_\_



## **RESPONSIBILITIES OF VOLUNTEERS**

Volunteers also represent UWDOR and set examples through their ethical conduct and professionalism. Volunteers:

- Do not knowingly take any action or make any statement intended to influence the conduct of UWDOR in such a way as to confer any financial benefit on such volunteers, their immediate family members, or any organization in which they or their family members have a significant interest as stakeholders, directors, or officers.

## **VENDOR RELATIONS**

Vendors are treated fairly to avoid favoritism or appearances of impropriety. UWDOR:

- Affords all vendors the opportunity to offer or qualify their products or services on a competitive basis;
- Conducts all competitive bidding in a fair and professional manner giving no special preferences or advantages to any vendor; and
- Purchases all products and services under its purchasing policy procedures, which adhere to this Code of Ethics.

## **DIVERSITY AND EQUAL OPPORTUNITY**

UWDOR is an equal opportunity employer and is committed to the principle of diversity. UWDOR employees and volunteers:

- Value, champion, and embrace diversity as an integral part of their business.
- Agree to prohibit unfair or discriminatory practices against any volunteer, employee or any person served by UWDOR, because of age, race, creed, sexual orientation, color, sex, national origin, religion, familial status or disability, unless based on the nature of the volunteer position, job or service provided.
- Strive to create an environment conducive to professionalism.
- Refuse to engage in or tolerate in others, any form of sexual harassment.

Initial: \_\_\_\_\_

Date: \_\_\_\_\_



## **PERSONAL GAIN**

No employee should accept any gratuity or favor for doing his or her job. UWDOR employees:

- Do not solicit or accept gratuities, gifts or favors, other than promotional gifts of nominal value, for themselves or their families, in violation of the UWDOR policy on gifts;
- Do not accept food, transportation, lodging, or entertainment unless directly related to UWDOR business; and
- Do not use UWDOR resources for personal gain.

## **TRAVEL, ENTERTAINMENT AND RELATED EXPENSES**

Travel, entertainment and related expenses are incurred on a basis consistent with the mission of UWDOR. Accordingly, expenses incurred will comply with policies adopted by the UWDOR Board of Directors.

## **CONFIDENTIAL INFORMATION**

Confidentiality is a hallmark of professionalism. UWDOR employees:

- Ensure that all information which is confidential or privileged or which is not publicly available is not disclosed inappropriately; and
- Ensure that all non-public information of other persons or firms acquired by UWDOR personnel in dealing with outside organizations on behalf of UWDOR is treated as confidential and not disclosed.

Initial: \_\_\_\_\_

Date: \_\_\_\_\_



## CONFLICT OF INTEREST

To avoid even the appearance of a conflict of interest, which would tarnish the image of the organization and undermine the public trust in UWDOR employees:

- Refrain from participating in or influencing any decision or other action of UWDOR or local organization that could result in a direct or indirect benefit to his or her family or any organization with which the employee is materially affiliated.
- Ensure that outside employment and other activities do not interfere with their responsibilities within UWDOR and do not adversely affect UWDOR. Employees are encouraged to inform their supervisor of any significant outside activities.
- Refrain from influencing the selection of staff, consultants or vendors who are relatives or personal friends or affiliated with, employ, or employed by a person with whom they have a relationship that adversely affects the appearance of impartiality.

In the event that there comes before the Board of Directors or the Governance Committee a matter for consideration or decision that raises a potential conflict of interest for any member of the board or the committee, the member shall disclose the potential conflict of interest as soon as he or she becomes aware of it, and shall withdraw from the meeting room during discussion, review, and voting in connection with the matter. The disclosure and withdrawal shall be recorded in the minutes of the meeting. Each member shall file annual disclosures of potential conflicts with the board, on the disclosure form included in this document.

## DISCLOSURE

UWDOR employees and representatives are encouraged to disclose any perceived breaches of the Code of Ethics of which they are aware. Disclosure should be made to a supervisor, the President or the Chair of the Board of Directors. Any reported breaches will be investigated and appropriate action, if needed, will be taken. Confidentiality will be maintained for the employee disclosing the breach, unless the matter raises serious legal implications. In such instances, the employee disclosing the breach will be notified. Anyone disclosing a potential or perceived breach of this ethics policy in good faith shall not be subject to reprisal in any form. UWDOR encourages all employees to be prompt, open, and forthright in reporting perceived breaches of the Code of Ethics.

I have read this Code of Ethics and I understand that this policy is meant to supplement good judgment, and I respect its spirit as well as its wording.

Print Name \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_



## Conflict of Interest Declaration

The standard of behavior at the United Way of the Dutchess-Orange Region (UWDOR) is that all staff, volunteers, and board members scrupulously avoid conflicts of interest between the interests of the UWDOR on one hand, and personal, professional, and business interest on the other. This includes avoiding potential and actual conflicts of interest, as well as perceptions of conflicts of interest.

I understand that the purposes of this policy are to protect the integrity of the UWDOR's decision-making process, to enable our constituencies to have confidence in our integrity, and to protect the integrity and reputations of volunteers, staff and board members. Upon or before election, hiring or appointment, I will make a full, written disclosure of interests, relationships, and holdings that could potentially result in a conflict of interest. This written disclosure will be kept on file and I will update it as appropriate.

I understand that this policy is meant to supplement good judgment, and I will respect its spirit as well as its wording.

In order to avoid a conflict of interest, all Staff, Board and Committee members of United Way of the Dutchess-Orange Region are asked to declare formal affiliations with potential applicants.

Please list all organizations for which you serve as a trustee, board member, staff, corporation, or volunteer. If there are no conflicts, please indicate 'NONE' below.

Print Name \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Reviewed By \_\_\_\_\_

Date \_\_\_\_\_

This form is to be renewed annually by each UWDOR Staff and Board Member.