

Code of Ethics  
And  
Standards of Practice

United Way of Greater Knoxville, Inc.

Adopted May 25, 2004  
Revised September 15, 2014

# Mission Statement

## **Our Vision:**

Better Lives. Better Communities.

## **Our Mission:**

United Way of Greater Knoxville brings together resources to improve the lives of people in our community by helping them achieve their potential for self-sufficiency.

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# Core Values

**We value INTEGRITY.**

*We are striving to be the best we can be at what we do.*

United Way pledges to uphold the highest ethical and professional standards, to honor commitments and to be accountable to the community with transparent operations and responsible stewardship.

**We value COMMUNITY.**

*We understand we cannot do it on our own.*

United Way promises to continually evaluate our local needs and respond with solutions by uniting people from every segment of our community. WE believe in teamwork and the potential of people working together and we inspire others to take action and make a difference.

**We value COMPASSION.**

*We care about people—they are the whole reason we are here.*

United Way strives to embody an attitude of humility in our support for all those with whom we come in contact. We respect and celebrate the diversity of perspectives, abilities and talents required to achieve our vision of improving lives and strengthening the community.

**We value RESULTS.**

*We evaluate what really matters and work for continual community improvement.*

United Way measures and reports the positive changes in the lives of individuals and our community. We believe in the power of multiplying resources and aligning with partners who are also demonstrating positive individual and community outcomes.

# Code of Ethics

## Introduction

The trust placed in United Way to serve the public good obligates us to act ethically.

Our reputation depends upon the ethical conduct of everyone affiliated with United Way of Greater Knoxville. Volunteers, staff and representatives set an example for each other and for member organizations, by their pursuit of excellence in performance, professionalism and ethical conduct.

This code of ethics is in support of our Mission Statement as stated in the By-Laws, and is guided by our Core Values: Integrity, Community, Compassion, and Results.

We are mindful that these core values must be clearly articulated, communicated and continuously reinforced. In addition, more detailed policies, guidelines, explanations, definitions and examples are often needed to bring these values into actual practice. While no document can anticipate all of the challenges that may arise, the Code communicates key guidelines and will assist United Way volunteers, staff and representatives in making decisions that are ethical and in accordance with applicable legal requirements. Everyone associated with United Way is encouraged to discuss any questions or concerns about this Code of Ethics with a supervisor, the President or Chairman of the Board.

### **1. PERSONAL AND PROFESSIONAL INTEGRITY**

A personal commitment to integrity benefits each individual as well as the organization. We therefore:

- ▶ Will be loyal to the United Way and its mission.
- ▶ Strive to meet the highest standard of performance, quality, service and achievement as we work to carry out the United Way mission.
- ▶ Communicate honestly and openly and avoid misrepresentation.
- ▶ Promote a fair and respectful working environment where honesty, open communication and all opinions are valued, and misrepresentation is avoided.

### **2. ACCOUNTABILITY**

United Way is responsible to its stakeholders, which include member organizations, donors and others who have placed faith in United Way. To uphold this trust we:

- ▶ Promote good stewardship of United Way resources, including contributions, sponsorships, grants and program fees that are used to pay operating expenses, salaries, and employee benefits.
- ▶ Use organizational resources, equipment and material of United Way only for United Way purposes.
- ▶ Will be open and candid about our activities and operations.
- ▶ Maintain accurate financial records and publish our financial results in an accurate and timely manner.
- ▶ Provide employees and volunteers with a confidential means to report suspected impropriety or misuse of United Way's resources.
- ▶ Will provide officers and directors liability insurance and other insurance coverage for the protection of our volunteers and staff. In so doing the United Way regards the signing of this Code of Ethics as a hold harmless agreement with the signer.

### **3. SOLICITATIONS AND VOLUNTARY GIVING**

Informed and involved contributors are the most responsive. We therefore:

- ▶ Promote voluntary giving in dealing with donors and vendors.
- ▶ Refrain from any coercion in fundraising activities, including predicating professional advancement on response to solicitations.
- ▶ Disclose our fundraising costs as a matter of public record.
- ▶ Use accurate solicitation and promotional materials.
- ▶ Honor the donor's expressed intentions regarding the use of their funds.

### **4. DIVERSITY AND EQUAL OPPORTUNITY**

United Way is an equal opportunity employer committed to the principle of inclusiveness. We therefore:

- ▶ Consider applicants for employment without regard to race, color, religion, age, sex, national origin, or disability.
- ▶ Support affirmative action and equal employment opportunity programs throughout United Way.
- ▶ Refuse to engage in or tolerate any form of illegal discrimination or harassment.

## **5. CONFLICTS OF INTEREST**

A perceived or real conflict of interest by a United Way volunteer, staff member or representative would be detrimental to the public's trust and confidence in United Way and member organizations. Therefore, volunteers, staff and representatives will:

- ▶ Disclose to the President or Chairman of the Board any activity or involvement with a current or potential United Way partner agency, vendor, grantee or competing organization, including serving as an officer or director of such entity
- ▶ Incur only travel, entertainment and related expense consistent with the mission of United Way and not for personal gain or interests.
- ▶ Decline any gift, gratuity or favor in the performance of United Way duties other than (i) promotional items of nominal value, or (ii) food, transportation, lodging or entertainment directly related to United Way business.
- ▶ Refrain from influencing the selection of consultants or vendors whose employment would result in personal, family or employer financial benefit.
- ▶ Disclose all known and potential conflicts of interest in any matter before the Board of Directors, if they are Board members, or in any matter before any committee upon which they serve, and abstain from voting on all such matters.
- ▶ Require Board members to annually file with the President a disclosure of all known potential conflicts of interest.

## **6. CONFIDENTIALITY AND PRIVACY**

Confidentiality is a hallmark of professionalism. We therefore:

- ▶ Ensure that all information, which is confidential, privileged or nonpublic, is not disclosed inappropriately.
- ▶ Respect the privacy rights of all individuals in the performance of their United Way duties.
- ▶ Refrain from the use of confidential information gained in the course of our employment or volunteer efforts for personal gain either during our relationship with the United Way or after it ends.
- ▶ Ensure that our computer and management information systems are protected from unauthorized use.
- ▶ Respect the wishes of donors that prefer to remain anonymous by not releasing their names, addresses or contribution amounts, unless required to do so by law.
- ▶ Recognize that all information, whether hard copy or electronic, is the property of the United Way and may not be copied or removed.

## **7. POLITICAL CONTRIBUTIONS**

United Way may not make contributions to any candidate for public office or political committee and may not intervene in any political campaign on behalf of or in opposition to any candidate for public office. We therefore:

- ▶ Clearly communicate that we are acting in an individual capacity and not on behalf of the organization, if identified as an official of United Way, while engaging in political activities, including making political contributions.
- ▶ Refrain from engaging in political activities in a manner that may create the appearance that such activity is by or on behalf of United Way.

United Way of Greater Knoxville 2015 Code of Ethics & Conflicts of Interest Questionnaire.

The certification process is mandatory for all Board members, volunteers and staff.

Please read all questions and circle yes or no.

1) Other than an employment relationship, do you individually conduct any other business with this organization? **Yes No**

(Business transactions include, but are not limited to, contracts of sale, lease, license and performance of services, whether initiate during the organization's tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the organization and of the interested person exceeds 10%.)

2) Do you have family members conducting business with this organization? **Yes No**

(A family member is defined as spouse, ancestors, siblings, children, grandchildren, great grandchildren, and spouses of siblings, children, grandchildren and great grandchildren.)

3) Do you own 35% of a company that does business with this organization? **Yes No**

(A company is defined as a C-corporation, S-corporation, Partnership, LLC or other entity type.)

4) Do you have family members that own 35% of a company that does business with this organization? **Yes No**

5) Do you have a family relationship or a business relationship with any other 'interested person'? **Yes No**

6) Do you own, in combination with other 'interested persons,' 35% of a company that does business with this organization? **Yes No**

7) Does a family member own, in combination with other 'interested persons,' 35% of a company that does business with this organization? **Yes No**

(An 'interested person' is defined as a director, principal officer, committee member, or key employee.)

8) Do you serve as an officer, director or trustee of an entity (or a shareholder of a professional corporation) that does business with this organization? **Yes No**

9) Do you have a family member that serves as an officer, director or trustee of an entity (or a shareholder of a professional corporation) that does business with this organization? **Yes No**

10) Are you a key employee of an entity (or a shareholder of a professional corporation) that does business with the organization? **Yes No**

(For purposes of this questionnaire, a 'key employee' is defined as an individual with significant influence or authority within the entity.)

11) Do you have a family member that serves as a key employee of an entity (or a shareholder of a professional corporation) that does business with this organization? **Yes No**

12) Do you serve as a partner or member of an entity (with ownership interest in excess of 5% of that partnership or professional corporation) that does business with this organization?

**Yes No**

Example: A board member is a partner in a law firm whose firm receives income from the provision of legal services to this organization. The board member's ownership interest is 3% of the law firm. Since the partner's ownership interest is less than 5%, the payment for the provision of legal services would not be disclosed.

13) Do you have a family member that serves as a partner or member of an entity (with ownership interest in excess of 5% of that partnership or professional corporation) that does business with this organization? **Yes No**

14) Are you a board member that is compensated as an officer or other employee from a related organization? **Yes No**

(A "related organization" is generally an organization that stands in a parent/sub relationship or a supporting/supported relationship.)

15) Did you receive total compensation or other payments exceeding \$10,000 for the year from this organization or from related organizations as an independent contractor, other than reimbursement of expenses or reasonable compensation for services provided in the capacity as a member of the governing body? **Yes No**

16) Did a family member receive total compensation or other payments exceeding \$10,000 for the year from this organization or from related organizations as an independent contractor, other than reimbursement of expenses or reasonable compensation for services provided in the capacity as a member of the governing body? **Yes No**

17) Did you receive (directly or indirectly) any single payment in excess of \$10,000 (other than employee compensation) for a transaction with this organization? **Yes No**

18) Did a family member receive a compensation payment in excess of \$10,000? **Yes No**

19) Are you a substantial contributor to this organization? **Yes No**

(In general, a 'substantial contributor' is defined as a person that contributed or bequeathed an aggregate amount in excess of \$5,000 before the close of this organization's tax year. The creator of a trust is also deemed a 'substantial contributor' with respect to the trust.)

20) Are you a donor of a donor-advised fund to this organization? **Yes No**

(A donor-advised fund is a fund that is separately identified by reference to contributions of a donor; that is owned and controlled by a sponsoring organization; and the donor or donor advisor has or reasonably expects to have advisory privileges in the distribution or investment of amounts held in the donor-advised funds or accounts.)

21) Do you or a family member receive benefits from this organization's donor-advised funds?

**Yes No**

22) Do you or a family member have a trust, escrow or custodial arrangement with this organization? **Yes No**

23) Is there any reason that your loyalty to this organization could be impaired? **Yes No**

If yes, briefly explain: \_\_\_\_\_

\_\_\_\_\_

24) Are you or a family member on a selection committee of any organization that grants money to OR receives funds from this organization? **Yes No**

25) Do you or a family member have any loans to or from this organization or a related organization? **Yes No**

26) Do you or a family member receive grants or other assistance from this organization?

**Yes No**

27) Are you aware of any excess benefit transactions to report? **Yes No**

(An excess benefit transaction is where the organization directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the organization.)

If yes, briefly explain: \_\_\_\_\_

\_\_\_\_\_

28) Have you read the United Way of Greater Knoxville Code of Ethics? **Yes No**

29) Do you understand that any direct or indirect retribution for the making of a communication concerning violations or suspected violations of the Code may be itself an independent violation of the Code? **Yes No**

30) Do you have any Conflicts of Interest to report? (See Section 5 of Code for definitions of Conflicts of Interest.) **Yes No**

If yes, briefly explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Guidance and Disclosure

United Way Volunteers, staff and representatives are encouraged to seek guidance from the President or other member of the Executive Committee concerning the interpretation or application of this Code of Ethics. Any known or suspected violations of the Code of Ethics involving staff should be reported to a supervisor, the President or the Chairman of the Board.

Volunteers should contact the President or Chairman of the Board. Reports will be handled in the following manner:

- ▶ All reports will be promptly and thoroughly investigated.
- ▶ All reports will be treated in confidence as much as the organization's duty to investigate and the law allow. If confidentiality cannot be maintained, the individual reporting the possible violation will be notified in advance.
- ▶ Appropriate action will be taken based upon the policies of the organization if any violation is determined to have occurred.
- ▶ Retaliation against a person who suspects and reports a possible violation in good faith will not be tolerated, but such retaliation will be treated as an independent violation of the Code.

# Code of Ethics Glossary

**Candidate for Public Office:** An individual who offers herself or himself or is proposed by others as a contestant for an elected public office, whether such office is federal, state or local.

**Confidential and Privileged Information:** Information that is protected from voluntary or involuntary disclosure by legally recognized privileges such as attorney-client, doctor-patient and others.

**Contribution, political:** Anything of value, including monetary and in-kind gifts, provided for the purpose of influencing the outcome of an election.

**Donors:** All individuals and entities that make charitable or in-kind contributions to United Way.

**Gifts; Promotional Items of Nominal Value:** A gift which must be declined includes any gratuity, favor, discount, entertainment, hospitality, loan, forbearance or other item having monetary value. It includes services as well as gifts of training, transportation, local travel, lodgings and meals, whether provided in-kind, by purchase of a ticket, payment in advance, or reimbursement after the expense has been incurred.

The following promotional items might be accepted with care:

- ▶ Gifts used to promote an organization's name, products or services which have retail value of \$25 or less.
- ▶ Modest items of food and refreshments, such as soft drinks, coffee and donuts, offered other than as part of a meal.
- ▶ Greeting cards and items with little intrinsic value, such as plaques, certificates and trophies, which are intended solely for presentation.
- ▶ Reward and prizes given to competitors in contests or events, including random drawings, open to the public unless the employee's entry into the contest or event is required as part of their official duties.

The following are not considered gifts:

- ▶ Loans from banks and other financial institutions on terms generally available to the public.
- ▶ Pension and other benefits resulting from continued participation in an employee welfare and benefits plan maintained by a former employer.
- ▶ Anything for which market value is paid by the employee.

**Immediate family members:** Include an individual's spouse, children, parents, siblings, and spouses of children and siblings. Other "family members" are persons who are related to United Way staff or volunteers by blood or by marriage, or in other significant ways (i.e., significant other, life partner, common-law marriage, etc.)

**Integrity:** Adhering to moral, ethical and honest principles.

**Nonpublic Information:** Any business, financial or personal information, which is not publicly known or available.

**Political Committee:** Any party, committee, associations, fund or other organization organized and operated primarily for accepting contributions to influence the selection, nomination, or election of any individual to any federal, state or local office.

**Promotional Items of Nominal Value:** Gifts used to promote an organization's name, products, or services which have as retail value \$25 or less.

**Representatives:** Individuals who provide personal services to United Way as independent contractors, consultants or loaned executives.

**Staff:** All individuals who provide services to United Way as employees or leased employees.

**Vendors:** Entities which provide goods and services to United Way for a fee.

**Volunteers:** All members of the United Way Board of Directors and committees appointed by the Board of Directors who perform their United Way duties without compensation.

# Code of Ethics Certificate

I acknowledge that I have received and read my personal copy of the United Way of Greater Knoxville, Inc.'s Code of Ethics. I understand that each United Way volunteer, staff member and representative is responsible for adhering to the principles and standards of the Code, and I confirm that I will conduct myself in accord with the principles and standards of the Code. I understand that if there is any doubt concerning the applicability of the Code to a particular situation, I am to make contact with a supervisor, President or Chairman of the Board.

I further understand it is my responsibility to bring violations or suspected violations of the Code to the attention of a supervisor, President or Chairman of the Board. I have also been informed that any direct or indirect retribution for the making of a communication concerning violations or suspected violations of the Code may be itself an independent violation of the Code.

The certification process is mandatory for all United Way staff and the Board of Directors.

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Printed Name

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Signature

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Date

## Conflicts of Interest

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