

# CODE OF ETHICS & DIVERSITY

April 2017



**United Way of Mid Coast Maine is committed to the highest ethical standards.** We believe we have a responsibility to achieve high standards given the trust placed in us to be good stewards of citizens' time and donations, to reach our mission "to improve lives by mobilizing the caring power of communities."

This Code of Ethics is based in part upon our organizational values. We believe we have the responsibility to assume a leadership role in addressing important human needs throughout the Mid Coast community. We believe in affirming the inherent worth of the individual by treating people with fairness, compassion, dignity and respect. We believe in encouraging opportunities for individuals and families to realize their fullest potential. We believe in striving for high standards of quality in our work and that of our supported agencies and services. We believe in being accountable for the honest and effective stewardship of our resources. We believe in the importance of being locally governed and value broad community participation in all of our endeavors.

The success of our work, our reputation, and our long-term viability as a force for good in our community depend upon the ethical conduct of everyone affiliated with UWMCM. While no document can anticipate all of the challenges that may arise, this Code of Ethics communicates key guidelines and should assist UWMCM volunteers, staff and representatives in making good decisions that are ethical and in accordance with applicable legal requirements. All are encouraged to discuss any questions or concerns they have with the Executive Director or Chair of the Board of Directors.

1. **PERSONAL AND PROFESSIONAL INTEGRITY:** A personal commitment to integrity in all circumstances benefits each individual as well as the organization. We therefore:
  - Strive to meet the highest standards of performance, quality, service and achievement in working towards the UWMCM mission.
  - Communicate honestly and openly, including in our publicity, avoid misrepresentation, and listen closely to others.
  - Promote a working environment where honesty, open communication and all opinions are valued.
  - Exhibit respect and fairness toward all those with whom we come into contact.
2. **ACCOUNTABILITY:** UWMCM is responsible to its stakeholders, which include donors, volunteers, partner agencies, the United Way system, and others who have placed faith in UWMCM. To uphold this trust we:
  - Promote good stewardship of UWMCM resources, including donations that are used to pay operating expenses, salaries, and employee benefits.
  - Refrain from using organizational resources for non-UWMCM purposes.
  - Observe and comply with all laws and regulations affecting UWMCM.
  - Comply with UWMCM by-laws and policies.
3. **SOLICITATIONS AND VOLUNTARY GIVING:** We believe the most responsive contributors are those who have the opportunity to become informed and involved. We:
  - Promote voluntary giving in dealing with donors and vendors.

- Refrain from any use of coercion in fundraising activities, including with UWMCM staff.
4. **DIVERSITY AND EQUAL OPPORTUNITY:** UWMCM is committed to the principle of diversity. We therefore:
- Value, champion, and embrace diversity in all aspects of UWMCM activities and respect others without regard to race, color, religion, creed, age, sex, national origin or ancestry, primary language, culture, economic status, political affiliation, marital status, veteran status, sexual orientation, or disability.
  - Are an equal opportunity employer and support affirmative action.
  - Refuse to engage in or tolerate any other form of discrimination or harassment.
5. **CONFLICTS OF INTEREST:** To avoid any conflict of interest or the appearance of a conflict of interest which could undermine the public's trust and tarnish the reputation of UWMCM, staff and representatives shall:
- Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of UWMCM, including involvement with, or accepting gifts from, a current or potential UWMCM vendor, grantee, or competing organization unless disclosed to and not deemed to be inappropriate by the Executive Director, who will consult with the Board Chair if needed.
  - Ensure that outside employment and other activities do not adversely affect the performance of their UWMCM duties or the achievement of UWMCM's mission.
  - Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission of UWMCM and not for personal gain or interests. Decline any gifts of travel, entertainment and related expenses unless they are approved by the Executive Director as appropriate and directly related to UWMCM business.
  - Decline any gift, gratuity or favor in the performance of UWMCM duties except for promotional items of nominal value.
  - Refrain from influencing the selection of staff, consultants or vendors who are relatives or personal friends or are affiliated with, employ, or are employed by a person with whom they have a relationship that adversely affects the appearance of impartiality.

UWMCM volunteers shall:

- Not knowingly take any action, or make any statement, intended to influence the conduct of UWMCM in such a way to confer any financial benefit on themselves, their immediate family members or any organization in which they or their immediate family members have a significant interest as stakeholders, directors or officers.
- Not take any action intended to influence the conduct of UWMCM if they have strong personal feelings, for example about a subject or potential grantee, that they believe affects their judgment on the best course of action for UWMCM as an organization. The Board or Committee Chair, or Executive Director, may also determine that such a situation exists and excuse a volunteer from discussion and voting.
- Disclose all known conflicts or potential conflicts of interest in any matter before the Board of Directors, if they are Board members, or any committee upon which they serve, in advance if possible, and withdraw from any discussion and voting in connection with such matter. The Board or Committee Chair, or Executive Director, may also determine that a potential conflict exists and excuse a volunteer from discussion and voting. Volunteers on Fund Distribution Advisory Groups shall not serve on the board or staff of an agency applying for funds to that

group; other connections with an applying agency should be disclosed to the Committee Chair or staff for consideration if a potential conflict exists.

- Members of the Board shall annually file 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 UWMCM duties.
7. **POLITICAL CONTRIBUTIONS:** As a charitable organization, UWMCM is prohibited from making contributions to any candidate for public office or to any political committee. We therefore:
- Refrain from making any contributions, including the use of UWMCM facilities, or endorsing any candidate for public office on behalf of UWMCM, or in a manner that may create the appearance that a contribution or endorsement is on behalf of UWMCM.
  - Abide by the rules governing 501-c-3 organizations' involvement in legislative/political activities
8. **GUIDANCE, DISCLOSURE, AND WHISTLEBLOWER PROTECTION:** Volunteers, staff, and representatives are encouraged to seek guidance concerning the interpretation or application of this Code of Ethics. Any known or possible breaches of the Code of Ethics should be disclosed to the Executive Director first, or if need be the Board Chair, or the Executive Committee if neither of the first two options is possible. Reports of possible breaches will be handled in the following manner:
- All reports of possible breaches 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 disclosing the possible breach will be notified.
  - All reported breaches will be investigated and, if needed, appropriate action taken based upon the policies of the organization.
  - Retaliation against a person who suspects and reports a Breach in good faith will be treated as an independent breach of the Code. UWMCM abides by the Whistleblower Protections contained in the Sarbanes-Oxley legislation: "It is unlawful to discharge, demote, suspend, threaten, harass, or discriminate in any other manner against any employee who provides information regarding conduct the employee reasonably believes constitutes financial fraud or a violation of laws."
  - UWMCM affirms prompt and fair resolution of all reported breaches.

Revised:

March 2001  
June 2006  
April 2010  
March 2013  
March 2016  
April 2017

# 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.

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

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

**Immediate family members:** An individual's spouse, domestic partner, member of household, children, parents, siblings, and spouses of children and siblings.

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

**Political Committee:** Any party, committee, association, 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.

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

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

**Staff and Representatives:** All individuals who provide personal services to UWMCM as employees, independent contractors, consultants or loaned executives.

**Stewardship:** The responsibility to manage UWMCM resources, including donations and public trust, with proper care and high standards of integrity and accountability.

**Vendors:** Entities that provide goods and services to UWMCM for a fee.

**Volunteers:** All members of the UWMCM Board of Directors and committees established by the Board, and others who perform UWMCM duties without compensation.

# Code of Ethics Certificate



I have read and understand the United Way of Mid Coast Maine Code of Ethics.

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

\_\_\_\_\_  
United Way Role or Committee

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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## Conflict of Interest Disclosure Statement United Way of Mid Coast Maine

Section 5 of UWMCM’s Code of Ethics outlines the organization’s Conflict of Interest policies, and should be closely reviewed by all Board and Committee members, other volunteers and staff. All known or potential conflicts should be disclosed below. As described in the Code, these include any UWMCM agencies, grantees, vendors or competing organizations with which you or an immediate family member have a significant interest as a Board member, stakeholder, financial beneficiary, or any organization or subject about which you have strong personal feelings that could affect your judgment on the best course of action for UWMCM as an organization. It is understood that active volunteers may well have other involvements; they simply need to disclose and withdraw from discussion and voting on potential conflicts. Volunteers on Fund Distribution Advisory Groups shall not serve on the board or staff of an agency applying for funds to that group; other connections with an applying agency should be disclosed to the Committee Chair or staff for consideration if a potential conflict exists.

Please list below any known potential conflicts of interest:

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To the best of my knowledge, the above represent any conflicts of interest I may have. I agree that if in the future any situations arise which would require disclosure, I will notify the Executive Director or Board of Directors Chair in writing.

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

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## Photo Release (Optional)

I, \_\_\_\_\_, give my permission for MY photograph to be used for publicity purposes by the United Way of Mid Coast Maine. This could include a variety of media, including print, television, video, or digital.

Affiliation: \_\_\_\_\_

Signed: \_\_\_\_\_

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