

**OFFICIAL  
POLICY MANUAL**



**NORTHERN SANTA BARBARA COUNTY UNITED WAY**

**OFFICIAL POLICY MANUAL  
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## **WELCOME TO NORTHERN SANTA BARBARA COUNTY UNITED WAY**



Northern Santa Barbara County United Way is a voluntary, non-profit organization, which emphasizes broad citizen involvement and seeks to provide financial, volunteer and professional resources to effectively and efficiently meet human needs in our ten county communities. United Way exists because of the spirit of volunteerism.

Northern Santa Barbara County United Way is comprised of ten communities in Santa Ynez Valley, Lompoc Valley, Santa Maria Valley and Cuyama.

Hundreds of volunteers representing our communities give their time to raise funds for United Way agency services, to plan to meet changing community needs, and to coordinate collaborative community services that will improve the quality of lives in our community. You are now part of a team of people working to make our communities stronger and better places to live.

We see a lot of people and a lot of people see us. How we feel about our work, how we perform our tasks and how we deal with people influence the public's feeling toward United Way. United Way's job of assisting volunteers, agencies and helping meet human and health needs is important and worthwhile. We are pleased that you have joined our Northern Santa Barbara County United Way team in helping us to build a stronger community and to bring out the best in our community.

### **The Northern Santa Barbara County United Way Board of Directors and Staff Members**

Any organization of people needs certain guiding policies, standards, and principles to operate in an orderly manner. This manual has been prepared to inform you about our Northern Santa Barbara County United Way organization and how it operates. You will also want to know more about the business principles of our organization and the rights and benefits you are entitled to as a Board member, employee or volunteer of Northern Santa Barbara County United Way.

This Official Policy Manual is intended to be the basic guideline governing the regular activities of United Way Board members, employees and volunteers. Northern Santa Barbara County United Way reserves the right to alter the conditions of this document as necessary and as determined by the needs of the organization.

These policies, standards, and principles were developed by the various committees to insure consistent Board approved practices that allow for some flexibility. Compliance with the policies contained in this manual is imperative in order to maintain consistency of operation. Any deviation from these procedures must be approved by the Board. If you have questions about anything in the manual, please contact the Executive Director or the Board President immediately for clarification and/or explanation.

It is your responsibility to know and to adhere to the policies, standards and principles set forth in this manual. No Board member, employee or volunteer shall be penalized or discriminated against in any way for having requested consideration of the application of these policies or for having registered a complaint or grievance in accordance with the procedures outlined in this manual.

It should be remembered that Northern Santa Barbara County United Way is a small organization. Therefore, flexibility, initiative and willingness to be a "team player" are some of the characteristics important to all positions at Northern Santa Barbara County United Way.

## **CORE VALUES & CODE OF ETHICS**

(Applicable to Board Members, Staff, Volunteers & Representatives)

### **CORE VALUES**

**INTEGRITY**

**IMPACT**

**VOLUNTEERISM**

**INCLUSIVENESS**

**COMMUNITY LEADERSHIP**

### **CODE OF ETHICS**

**PERSONAL & PROFESSIONAL INTEGRITY**

**ACCOUNTABILITY**

**SOLICITATION & VOLUNTARY GIVING**

**DIVERSITY & EQUAL OPPORTUNITY**

**CONFLICT OF INTEREST**

**NSBC-UW VOLUNTEERS**

**CONFIDENTIALITY & PRIVACY**

**POLITICAL CONTRIBUTIONS**

**GUIDANCE & DISCLOSURE**

**CODE OF ETHICS EXAMPLES**

## CORE VALUES

The mission of Northern Santa Barbara County United Way is to increase the organized capacity of all People in Northern Santa Barbara County, quality of life by being accountable to one another. This critical role requires that all of NSBC-UW Board members, staff, volunteers and representatives who foster such essential public good must assume the responsibility of earning public trust.

Accordingly, Northern Santa Barbara County United Way (NSBC-UW) plays a unique role, both as a leader in the health and human services sector and as a major resource to partner agencies to build trust through all that we do. This bond of trust goes far beyond legal or regulatory requirements to include our core values, and ethics. To fulfill this special obligation, five core values provide the foundation on which we base our actions and decisions:

**INTEGRITY:** We act with integrity that inspires the highest truth. We therefore:  
Stand as "one" in the relentless pursuit of instilling and promoting public confidence and trust.  
Maintain the highest standards of excellence and accountability, including prudent use of finances, and fair, accurate and honest disclosures of information.  
Keep our promises. People know that "United Way makes my caring count."

**IMPACT:** We make a positive difference and have a measurable impact of enduring consequence. We therefore:

Make a difference in our community and change lives through our efforts.  
Are committed to a United Way that is relevant to its people, its community and the times.  
Assume responsibility as good stewards and are accountable for our work and sustainable results.

**VOLUNTEERISM:** We have impact and are made relevant through the spirit of volunteerism. We therefore:  
Are outstanding in the way that we invite volunteers to express their philanthropic beliefs (expression of one's "love of humanity").  
Believe that the most effective models of service and excellence are created through the leadership of volunteers.  
Encourage volunteer participation.

**INCLUSIVENESS:** We are strong only when we are inclusive. We therefore:  
Aspire to involve every segment of the community in every aspect of our work.  
Act in ways that respect the dignity, uniqueness, and intrinsic worth of every person, the community, the donors, our own Board members, staff, volunteers and representatives.  
Believe in a movement built from the rich diversity and gifts of all people in all systems.

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**COMMUNITY LEADERSHIP:** We provide leadership for community building to be a catalyst for positive change. We therefore:

Are effective educators and facilitators bringing all segments of the community together to promote individual well being and common good.  
Are leaders of a process that multiplies the impact of people's innate desire and capacity to care for one another.  
Help transform visions of compassion and giving into dynamic reality.

## CODE OF ETHICS

Northern Santa Barbara County United Way (NSBC-UW) is committed to the highest ethical standards. Based on the unique trust placed in (NSBC-UW) to serve the public good, we have a special obligation to act ethically. The Code of Ethics is based on our mission and guided by our fundamental core values: Integrity, Impact, Volunteerism, Inclusiveness and Leadership.

The success of the United Way system and our reputation depend upon the ethical conduct of everyone affiliated with our organization. Board members, volunteers, staff and representatives set an example for each other and for partner agencies, by their pursuit of excellence in high standards of performance, professionalism and ethical conduct.

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 of Ethics values communicate key guidelines and will assist NSBC-UW Board members, staff, volunteers and representatives in making good decisions that are ethical and in accordance with applicable legal requirements.

**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 NSBC-UW mission.

Communicate honestly and openly and avoid misrepresentation.

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:** NSBC-UW is responsible to its stakeholders, which include partner agencies, donors and others in the community who have placed faith in NSBC-UW To uphold this trust we:

Promote good stewardship of NSBC-UW resources, including donations, grants and other contributions that are used to pay for community program services, fundraising expenses and operating expenses.

Refrain from using organizational resources for non-NSBC-UW purposes.

Observe and comply with all laws and regulations affecting NSBC-UW as a non-profit entity.

**SOLICITATIONS & VOLUNTARY GIVING:** The most responsive contributors are those who have the opportunity to become informed and involved. We therefore:

Promote voluntary giving in dealing with donors and vendors.

Refrain from any use of coercion in fundraising activities, including predicated professional advancement on the response to solicitations.

**DIVERSITY & EQUAL OPPORTUNITY:** NSBC-UW is an equal opportunity employer and is committed to the principle of diversity. We therefore:

Value, champion and embrace diversity in all aspects of NSBC-UW activities and respect others without regard to race, color religion, creed, age, gender, national origin or ancestry, marital status, veteran status, sexual orientation or status as a qualified disabled or handicapped individual.

Support affirmative action and equal opportunity programs.

Refuse to engage in or tolerate in any form of discrimination or harassment.

**CONFLICTS OF INTEREST:** To avoid any conflict of interest or the appearance of a conflict of interest which could tarnish the reputation of NSBC-UW or undermine the public's trust, NSBC-UW Board members, staff, volunteers, and representatives should:

Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of NSBC-UW, including involvement with a current or potential NSBC-UW vendor, grantee or competing organization unless disclosed to and deemed to be appropriate by the decision-making body who will take the matter to the Board.

Ensure that outside employment and other activities do not adversely affect the performance of their NSBC-UW duties or the achievement of NSBC-UW's mission.

Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission of NSBC-UW and not for personal gain or interest.

Decline any gift, gratuity or favor in the performance of NSBC-UW duties except for promotional items of nominal value (under \$25). Declines the offer of any food, transportation, lodging or entertainment unless directly related to NSBC-UW business.

Refrain from influencing the selection of staff, consultants or vendors who are relatives or personal friends or affiliated with or employed by a person with whom they have a relationship that might give the appearance of partiality.

**NSBC-UW VOLUNTEERS:**

Should not knowingly take any action or make any statement intended to influence the conduct of NSBC-UW in such a way as 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.

Should disclose all known conflicts or potential conflicts of interest in any matter to the Executive Director or Board President who will take the matter to the Executive Committee or Board. Board members will make their disclosure to the Board, or to the chair of any committee upon which they serve. They will withdraw from the meeting room during any discussion, review and voting in connection with such matter.

**CONFIDENTIALITY & PRIVACY:** Confidentiality is a hallmark of professionalism. Therefore, we should:

Ensure that any information which is confidential, privileged or nonpublic is not disclosed inappropriately.

Respect the privacy rights of all individuals in the performance of their (NSBC-UW) duties.

**POLITICAL CONTRIBUTIONS:**

Encourages individual participation in civic affairs. However, as a charitable organization, NSBC-UW 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:

Refrain from making any contributions to any candidate for public office or political committee on behalf of NSBC-UW.

Refrain from making any contributions to any candidate for public office or political committee in a manner that may create the appearance that the contribution is on behalf of NSBC-UW.

Refrain from using any NSBC-UW organizational financial resources, facilities or personnel to endorse or oppose a candidate for public office.

Clearly communicate that we are not acting on behalf of the NSBC-UW organization. If we are identified as an official of NSBC-UW while engaging in political activities we are doing so as an individual.

Refrain from engaging in political activities in a manner that may create the appearance that such activity is by or on behalf of NSBC-UW.

**GUIDANCE & DISCLOSURE:** Board members, staff, volunteers and representatives are encouraged to seek guidance from the Executive Committee concerning the interpretation or application of this Code of Ethics. Any known or possible breaches of the Code of Ethics should be disclosed. Reports of possible breaches will be handled in the following manner:

All reports of possible breaches will be treated in confidence to the extent that the organization's duty to investigate and the law will 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 in good faith, reports a breach will itself be treated as a separate breach of the Code.

NSBC-UW affirms prompt and fair resolution of all reported breaches.

## CODE OF ETHICS EXAMPLES

These examples are provided to illustrate how provisions of the Code of Ethics may be applied under certain circumstances. The outcome of any particular situation depends on the facts presented and the language of the Code of Ethics.

### HARASSMENT

**Situation:** Dan is continually teased by his younger co-workers for being an "old geezer" who is out of touch and unable to keep up with the pace of the office.

**Solution:** This could be considered harassment and is, at least, contrary to maintaining a positive work environment. Joe should tell his co-workers that their behavior is unwelcome and ask them to stop. If it continues, he should bring it to the attention of the Executive Director.

### CONFLICT OF INTEREST

**Situation:** A firm that your father owns is interested in bidding on a contract to supply goods to (NSBC-UW).

**Solution:** You must notify the Executive Director. It is important to avoid even the appearance of conflict of interest or favoritism, especially in situations that could appear to benefit you or your family. However, as long as you do not participate in, are removed from the decision making process, and have no influence in the awarding of the contract, he will likely be allowed to submit a bid.

**Situation:** While at a conference you bump into a representative from a hotel who learns you are planning (NSBC-UW's) next conference. He invites you to dinner and then offers you tickets for you and your spouse to attend the theater.

**Solution:** This could be considered a conflict of interest. You should decline any gift or entertainment that exceeds a nominal value of \$25.00. Similarly, you should not offer any entertainment or gift to a potential donor or supplier that could be interpreted as attempting to influence their decision regarding (NSBC-UW).

### SOLICITATION

**Situation:** Your daughter is in the school band and at your previous job you sold gift wrapping paper for her to your colleagues at work. Can you do that here at (NSBC-UW)?

**Solution:** Solicitations are permitted at (NSBC-UW) provided prior approval is obtained from the Executive Director. However, solicitations should be done in such a manner to avoid coercion, whether real or implied, and also to avoid conducting personal business during working time. You should not directly solicit members of the staff over whom you exercise supervisory authority. However, you may solicit in a manner which is non-personal such as posting your request on a bulletin board.

### NEPOTISM & FAVORITISM

**Situation:** Your sister-in-law is graduating at the top of her class from college this spring. You think she would be a great asset to your department at NSBC-UW.

**Solution:** Favoritism based on family or close personal relationships are unfair to other employees. The appearance that this is favoritism is understandable, even when such situations

are harmless. To avoid such an appearance, NSBC-UW employees may not supervise or exercise management authority, directly or indirectly, over staff with whom they have a relationship that may adversely affect impartiality. While it may seem like a mutually beneficial situation to bring your sister-in-law into your department, this may create an awkward or unfair situation for co-workers or other potential employees.

### **CONFIDENTIALITY**

**Situation:** A reporter from a local newspaper calls you and asks you for your comments concerning NSBC-UW's new fundraising strategy towards its largest donors.

**Solution:** Although you may want to be helpful, it is important that you do not give out potentially proprietary or confidential information. For your protection and that of the organization, it is necessary that you refer the call to the Executive Director.

### **POLITICAL CONTRIBUTIONS**

**Situation:** I serve on the NSBC-UW Board. I would like to make a personal donation to my Congressman. Is this something I can do under NSBC-UW's political contribution policy?

**Solution:** NSBC-UW, as a charitable corporation, cannot legally make political contributions. There is no legal restriction on our volunteer, staff or other representatives. However, in making contributions in an individual capacity, volunteers, staff and representatives should refrain from actions or representations which may imply or create the appearance that the contribution is on behalf of NSBC-UW, such as using of NSBC-UW stationary, name or logo.