



United Way of Rhode Island

GIVE. ADVOCATE. VOLUNTEER. LIVE UNITED.



Message from the United Way of Rhode Island Board of Directors. . . . 3

Our Core Values 4

Integrity. . . . 4

Impact. . . . 4

Engagement. . . . 4

Inclusiveness. . . . 5

Catalytic Leadership. . . . 5

Code of Ethics. . . . 6

Personal and Professional Integrity. . . . 6

Accountability. . . . 6

Solicitations and Voluntary Giving 7

Diversity and Equal Opportunity. . . . 7

Conflicts of Interest. . . . 7

United Way of Rhode Island Volunteers. . . . 8

Confidentiality and Privacy 8

Political Contributions 8

Disclosure, Guidance and Enforcement 9

Code of Ethics Guide. . . . 10

Code of Ethics Glossary 10

Code of Ethics Examples 11

Harassment. . . . 11

Conflict of Interest. . . . 11

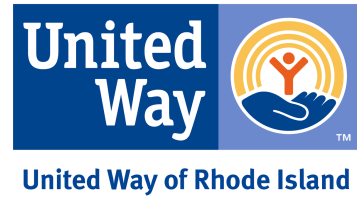
Solicitation. . . . 12

Nepotism/favoritism. . . . 12

Confidentiality. . . . 12

Political Contributions. . . . 12

Code of Ethics Certificate 13



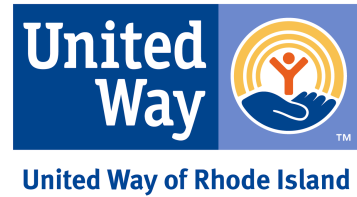
At the core, to care for one another, we must trust one another.

As volunteers, employees, and representatives of United Way of Rhode Island, we have a responsibility to uphold the highest of ethical standards—both for ourselves and for the benefit of our communities. We believe these standards go beyond compliance with laws and regulations—calling us to fulfill higher obligations as stewards of the public trust.

This Code of Ethics is an important way for us to reaffirm our ethical commitments. It sets forth the principles and standards that guide our decisions and actions

As we read the Code, we must remember that it is more than a set of standards and responsibilities. It is a way of connecting our values and our ideals with the work we do every day. The Code is not just about what we should do, but why we do it.

Of course, no document can give us all the answers to our ethics questions. This Code is meant to help us further the discussion of ethics in our workplace. It also encourages us to seek guidance and clarification when we have questions about applying our principles and standards. The involvement of all our employees and volunteers is essential to upholding these principles and standards. Only by continuing to work together on these issues can we ensure that the United Way of Rhode Island fulfills its commitment to build and maintain the public trust in all that we do.



The mission of United Way of Rhode Island (UWRI) is to mobilize the caring power of our community to improve the lives of people in need.

This critical role requires that all of us involved in the UWRI, who foster such an essential public good, must assume the responsibility of earning public 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.

We act with integrity to inspire trust.

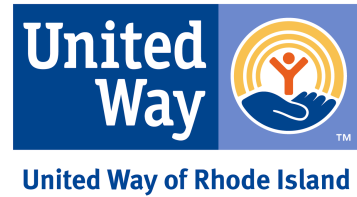
- We stand as “one” in the relentless pursuit of instilling and promoting public confidence and trust.
- We maintain the highest standards of excellence and accountability, including prudent use of financial resources, and fair, accurate, and honest disclosures of information.
- We keep our promises. People know it: “United Way makes my caring count.”

We make a positive difference and have a measurable impact of consequence.

- We make a difference in our statewide community. Our efforts change lives.
- We are committed to a United Way that is relevant to its people, its community, and our times.
- We assume responsibility as good stewards, and are accountable for our work and sustainable results.

We are relevant and impactful when we build positive relationships and unite the community.

- United Way of Rhode Island cannot realize its mission alone. Our relationships with our volunteers and community partners are critical to our ability to realize our mission.
- United Way is outstanding in the way it offers its volunteers meaningful opportunities to express their philanthropic beliefs.

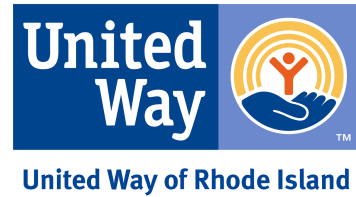


We are strong only when we are inclusive.

- We believe in a movement built upon the rich diversity and gifts of all people.
- We aspire to involve every segment of the community in our work.
- We act in ways that respect the dignity, uniqueness, and intrinsic worth of every person—the community, the donors, our own staff and families, boards, and volunteers.

We initiate leadership for community building to create and sustain positive change.

- We are effective educators and conveners—mobilizing all segments of the community together to promote individual wellbeing and common good.
- We draw on our expertise and resources to provide active leadership when appropriate.
- We are leaders of a process that multiplies the impact of people’s desire and capacity to care for one another.
- We help transform visions of compassion and giving into dynamic reality.



United Way of Rhode Island (UWRI) is committed to the highest ethical standards. Indeed, based on the unique trust placed in UWRI to serve the public good, we have a special obligation to act ethically.

Our success and our reputation depend upon the ethical conduct of everyone affiliated with the UWRI. Volunteers, staff, and representatives set an example for each other by their pursuit of excellence in high standards of performance, professionalism, and ethical conduct.

This UWRI Code of Ethics (Code) is based on our mission and guided by our fundamental values: Integrity, Impact, Engagement, Inclusiveness, and Catalytic Leadership.

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.

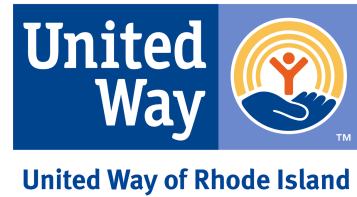
While no document can anticipate all of the challenges that may arise, the Code communicates key guidelines and will assist UWRI volunteers, staff and representatives in making decisions that are ethical and in accordance with applicable legal requirements.

Staff and representatives are encouraged to discuss any questions or concerns they may have with a supervisor or with the UWRI Staff Ethics Officer. Volunteers who have questions or concerns should contact a member of the Board Ethics Committee.

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

- Commit to transparent and ethical behavior at every level of the organization and throughout the employee and volunteer ranks.
- Strive to meet the highest standards of performance, quality, service and achievement in working towards the UWRI mission.
- Communicate honestly and openly and avoid misrepresentation.
- 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.

UWRI is responsible to its stakeholders, which include community organizations, donors and others who have placed their trust in UWRI. To uphold this trust we:



- Promote stewardship of UWRI resources, including our endowment and other resources, contributed and earned.
- Refrain from using organizational resources for non-UWRI purposes.
- Observe and comply with all laws and regulations affecting UWRI.

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.

UWRI is an equal opportunity employer and is committed to the principle of diversity. We therefore:

- Value, champion, and embrace diversity in all aspects of UWRI activities and respect others without regard to race, color, religion, creed, age, sex, national origin or ancestry, marital status, veteran status, sexual orientation, or status as a qualified disabled or handicapped individual.
- Support affirmative action and equal employment opportunity programs throughout UWRI.
- Refuse to engage in or tolerate any form of discrimination or harassment.

To avoid any conflict of interest, or the appearance of a conflict of interest staff, representatives and volunteers must:

- Refrain from engaging in any activity or outside interest which conflicts or appears to conflict with the best interest of UWRI, including involvement with a current or potential UWRI vendor, grantee, or competing organization unless disclosed to and not deemed to be inappropriate by the UWRI Staff Ethics Officer and UWRI Board Ethics Committee.
- Ensure that outside employment and other activities do not adversely affect the performance of their UWRI duties or the achievement of UWRI's mission.
- Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission and policies of UWRI and not for personal gain or interests.
- Decline any gift, gratuity or favor in the performance of UWRI duties except for promotional items of nominal value, and any food, transportation, lodging or entertainment unless directly related to the performance of UWRI business.

- 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.
- Staff and members of the Board of Directors shall annually file with the Staff Ethics Officer a disclosure of all known potential conflicts of interest. In addition, they are encouraged to seek guidance from the Staff Ethics Officer concerning the interpretation or application of this Code of Ethics.
- Should not knowingly take any action, or make any statement, intended to influence the conduct of UWRI 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 an interest as stakeholders, directors or officers.
- Must disclose all known conflicts, or potential conflicts of interest in any matter before the Board, if they are Board members, or any committee upon which they serve and must formally recuse themselves and withdraw from the meeting room during any discussion, review and voting in connection with such matter.

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 UWRI duties.

UWRI encourages individual participation in civic affairs. However as a charitable organization, UWRI will not make contributions to any candidate for public office or political committee and will 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 UWRI, or in such a way that it can be perceived as on behalf of United Way.
- Refrain from using any 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 organization, if identified as an official of UWRI, while engaging in political activities in an individual capacity.
- Refrain from engaging in political activities when such participation creates the appearance that such activity is by or on behalf of UWRI.

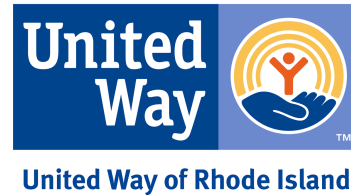


United Way of Rhode Island

- Take carefully considered public policy positions that align with our efforts to achieve community impact. Individuals involved in planning and/or communicating these efforts must conduct these matters on behalf of UWRI in a way that assures they will not be construed as support for a particular political party, candidate or office holder.

Any known or possible breaches of the Code of Ethics should be disclosed. Staff and representatives should contact a supervisor or the Staff Ethics Officer if they have a question or concern about their own compliance with this Code or that of another employee or volunteer. Volunteers should contact a member of the Board Ethics Committee if they have a question or concern about their own compliance with this Code or that of another volunteer or employee. 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.
- UWRI commits to prompt and fair resolution of all reported breaches.
- Should an ethical breach in violation of this Code be determined to have occurred, appropriate remedial action will be taken, including but not limited to corrective action on the part of the employee or volunteer, disciplinary action against the employee up to and including termination, and termination of the volunteer relationship with the organization in the case of a volunteer.



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.

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

Immediate family members: An individual's spouse or domestic partner, children, parents, siblings, and spouses or domestic partners 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, which have a retail value of \$25 or less.

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

Staff: All individuals who provide services to UWRI as employees or leased employees.

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

Volunteers: All members of the UWRI Board of Directors and committees appointed by the Board of Directors, who perform their UWRI duties without compensation.



These examples are provided only 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 in all cases, the language of the Code of Ethics is controlling.

Situation: Joe is continually teased by his younger co-workers for being an “old-geezer” “out of touch” and not able to keep up with the pace of the office.

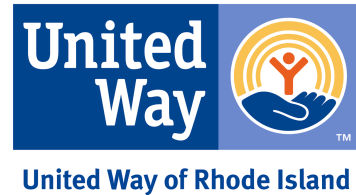
Solution: This could be considered harassment and is, at least, contrary to maintaining a positive work environment. Joe should tell his co-workers that their behavior is unwelcome and ask them to stop. If it continues, he should bring it to the attention of his supervisor, Human Resources Representative, or the Staff Ethics Officer. If, after investigation, it is determined that the conduct is unwelcome and is of a harassing nature the Human Resource representative may require the other employees to cease and desist as a condition of continued employment. Corrective and/or disciplinary action may be taken up to and including termination if employees fail to follow the requirement to cease harassing conduct.

Situation 1: A firm that your father owns is interested in bidding on a contract to supply goods to UWRI.

Solution: You must notify your supervisor and the Staff Ethics Officer. It is important to avoid even the appearance of conflict or duality of interest or favoritism, especially in situations that could appear to personally benefit you or your family. However, as long as you do not participate in, or are able to remove yourself from the decision making process, and thereby do not have influence in the awarding of the contract, he will likely be allowed to submit a bid. If however your role with the United Way is typically as the decision-maker on a bid of this sort it may be impossible for you to adequately recuse yourself and your relative may be prohibited from bidding for the contract with United Way.

Situation 2: While at a conference you bump into a representative from a hotel who learns you are planning UWRI’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 or duality of interest. You should decline any gift or entertainment. Similarly, you should not offer any entertainment or gift to a potential donor or supplier that could be interpreted as inappropriately influencing their decision about interaction with UWRI.



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 UWRI?

Solution: Solicitations are permitted at UWRI provided prior approval is obtained from Human Resources. However, solicitations should be done in such a manner to avoid even the appearance of coercion or undue influence, whether real or implied, and also to avoid conducting personal business during work time. You therefore should not directly solicit those members of the staff over whom you exercise supervisory authority. You may however solicit in a manner that is non-personal such as posting your request on a bulletin board.

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 UWRI.

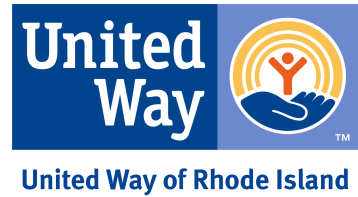
Solution: Favoritism based on family or close personal relationships is unfair to other employees and members of the public. To avoid such an appearance, UWRI employees may not supervise or exercise management authority, directly or indirectly, over staff with whom they have a relationship that may adversely 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.

Situation: A reporter from a magazine calls you and asks you for your comments concerning UWRI'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 Marketing and Communications Team Leader.

Situation: I serve on the board of my local United Way organization. I would like to make a personal donation to my Congressman. Is this something I can do under UWRI's political contribution policy?

Solution: UWRI, as a charitable corporation, legally cannot make political contributions. There is no legal restriction on our volunteers, 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 UWRI such as use of UWRI stationery, name or logo.



I acknowledge that I have received and read my personal copy of the United Way of Rhode Island Code of Ethics. I understand that each United Way of Rhode Island volunteer, staff member and representative is responsible for adhering to the principles and standards of the Code, and I confirm that I have conducted myself in accordance with the principles and standards of the Code.

I understand that this certification process is mandatory for all UWRI staff and members of the Board of Directors of the UWRI.

Printed Name

Signature

Date