

UNITED WAY OF BROOME COUNTY

STATEMENT OF GUIDELINES WITH RESPECT TO

POTENTIAL CONFLICTS OF INTEREST

United Way of Broome County, Inc. is a non-profit charitable corporation. Under applicable New York law and its own charter and By-Laws, ultimate authority and responsibility for managing the United Way's affairs reside with its Board of Directors. The Board consists of 48 elected individuals and a variable number of ex-officio members with voting rights, all of whom serve as volunteers. Between meetings of the Board, substantial authority may be exercised by United Way's Executive Committee.

Also involved in carrying out the affairs of the corporation are its employees, as well as groups of volunteers including, but not limited to, the Community Services Division, Allocations Panels, and numerous committees. These volunteers carry out responsibilities delegated to them by the Board of Directors, and they advise and make recommendations to the Board.

Recognizing that a conflict of interest on the part of any employee or volunteer, be it real or perceived, can damage the United Way's image in the community and have a potentially adverse effect on the credibility of the organization, the United Way of Broome County has adopted the following guidelines dealing with potential conflicts of interest. Basic in all of the guidelines is a requirement for disclosure.

I. PERSONAL AND BUSINESS FINANCIAL CONFLICTS OF INTEREST

No employee or member of a United Way volunteer body shall knowingly take any action or make any statement intended to influence the conduct of United Way in such a way as to confer any financial benefit on such person, family member, or on any firm or corporation in which he or she has a significant interest as partner, stockholder, director or officer.

- A. A family member includes: mother, father, son, daughter, brother, sister, husband, wife, or any person residing in the same household. An employee includes full-time and/or part-time staff, both professional and support, who are currently employed by the United Way, or who have been employed by the United Way in the previous two years.
- B. In the event that there comes before management or the volunteer body a matter for consideration or decision that raises a potential financial conflict of interest for any employee or volunteer, the individual shall disclose the potential conflict of interest as soon as he or she becomes aware of it, and the disclosure shall be recorded in the minutes of the meeting or the volunteer body that is considering the matter. For purposes of this requirement, the term "conflict of interest" refers only to conflicts of the sort suggested in the previous paragraph and does not include possible "conflicts" of a purely philosophical or ideological nature.
- C. Any member of the volunteer body who has such potential financial conflict of interest with respect to any matter coming before the volunteer body shall not vote in connection with the matter. Attendance, however, shall count toward a quorum.

- D. These guidelines shall not be construed as preventing or discouraging any employee or volunteer from disclosing relevant information with respect to any matter as to which he or she has knowledge, or from answering questions with respect to any such matter.
- E. This section (I) does not apply to potential conflicts arising from service on the board of a member agency.

II. CONFLICTS ARISING FROM SERVICE ON THE BOARD OF A MEMBER AGENCY

As part of the disclosure process, all Board, division, and committee personnel, at the inception of service, should provide the United Way with a list of member agencies on whose boards they serve, on forms to be provided, and subsequently update that record as necessary. This information should be made available to all Board, division, and committee members.

A. Allocations Panel Members

A panel member should not, at the time of appointment, or during the term of service, be a board member of an agency reviewed by that panel.

B. United Way Board and Community Services Division Members

Members of the United Way Board and CSD who also are members of the boards of affiliated agencies may, during discussion involving that agency, participate in the discussion but first shall disclose that relationship in keeping with the intent to make everyone aware of potential conflicts of interest.

Such member may wish (but shall not be required) to abstain from voting on individual matters affecting the agency he or she also serves as a board member.

In the nominating process for the United Way Board, it is desirable that the Nominating Committee take into consideration in selecting nominees the total number of United Way Board members serving on the board of an individual member agency.

III. ADHERENCE PROVISIONS

It is the responsibility of the person presiding at United Way meetings to make sure the United Way's conflict of interest provisions are adhered to in all decisions.

If it is discovered after a meeting that conflict provisions were not adhered to, the United Way Executive Committee will review the omission and make recommendations to assure that the provisions are followed in the future.

UNITED WAY OF BROOME COUNTY

CONFLICTS OF INTEREST FORM

Name _____ Date _____

United Way Volunteer Capacity:

- Member of United Way Board of Directors: Elected Ex-officio
- Community Services Division Member
- Allocations Panel Member: Panel _____
- Committee Member (please list UW committees on which you currently serve; a partial list of committees is on the back of this form)
- Employee

Please list all United Way affiliated agencies on whose governing body (board of directors) you are currently serving, noting the term of your service. Please list family members who serve on the Board of a member agency, as well. A list of affiliated agencies is on the back of this form.

Agency	Relationship	From (mo/yr)	To (mo/yr)

Please list all family members who are employed by the United Way or one of its member agencies, or who have been so employed within the last two years.

Name	Relationship	UW or Member Agency (Specify)

Please list all family members who are vendors of the United Way or who are actively soliciting business from the United Way.

Name	Relationship	Vendor

PARTIAL LIST OF UNITED WAY COMMITTEES

Administrative Services Committee
Allocations Steering Committee
Allocations Priorities Committee
Community Services Division
Communications Division
Community Services Division
First Call For Help Advisory Committee
Joint Bank Investment Subcommittee
MANAGE
Nominating Committee
Trust Fund Committee
Voluntary Action Center Advisory Committee

UNITED WAY MEMBER AGENCIES

ACCORD
Action for Older Persons
American Civic Association
American Red Cross, Southern Tier Chapter
American Social Health Association
Arthritis Foundation
Association for Retarded Citizens
Boy Scouts of America, Baden-Powell Council
Boys' and Girls' Club of Binghamton
Boys' and Girls' Club of Western Broome
Broome County Urban League
Catholic Social Services
Catholic Youth Organization
Crime Victims Assistance Center
Day Nursery Association
Deposit Foundation & Rural Housing
Family & Children's Society
Girl Scouts, Indian Hills Council
Handicapped Children's Association
Jewish Community Center
Johnson City Senior Citizens Center
Legal Aid for Broome & Chenango
Literacy Volunteers of Broome/Tioga
Mental Health Association of the Southern Tier
National Multiple Sclerosis Society, Upstate NY Chapter
Planned Parenthood of Broome & Chenango Counties
Retired & Senior Volunteer Program (RSVP)
The Salvation Army
SOS Shelter
YMCA of Broome County
YWCA of Broome County