

# **Code of Conduct**

## **The Chapter Integrity Program**



**December 2016**

**CODE OF CONDUCT**  
**THE ALS ASSOCIATION - CENTRAL & SOUTHERN OHIO CHAPTER**

**1. Vision and Mission**

**A. Our Vision** – Create a world without ALS.

**B. Our Mission** - Leading the fight to treat and cure ALS through global research and nationwide advocacy while also empowering people with Lou Gehrig’s Disease and their families to live fuller lives by providing them with compassionate care and support.

**2. Our Core Values and Guiding Principles – As One Team We:**

**A. Do the right thing**

- Act with integrity and honesty
- Respect and include all our stakeholders

**B. Create an open and transparent environment**

- Communicate clearly and completely
- Seek input from others and support our colleagues

**C. Are agile and innovative**

- Embrace and manage change
- Foster a steam-lined and entrepreneurial environment
- Generate and share new knowledge and ideas

**D. Get results**

- Are accountable (we do what we say we’ll do)
- Are determined (we get desired results)
- Are committed to constant improvement
- Leverage our diverse strengths

**3. Building Trust and Credibility**

The success of The ALS Association Central & Southern Ohio Chapter (the Chapter) is dependent on the trust and confidence we earn from our employees and the people we serve and their families. We gain credibility by adhering to our commitments, displaying honesty and integrity and reaching Chapter goals through honorable conduct. It is easy to *say* what we must do, but the proof is in our *actions*. Ultimately, we will be judged on what we do.

When considering any action, it is wise to ask:

- “Will this build trust and credibility for the Chapter?”
- “Will it help create a working environment in which the Chapter can succeed over the long term?”
- “Is the commitment I am making one I can follow through with?”

The only way we will maximize trust and credibility is by answering “yes” to those questions and by working every day to build our trust and credibility.

#### **4. Respect for the Individual**

We will treat fellow employees and our stakeholders with dignity and respect. This environment brings out the full potential in each of us, which, in turn, contributes directly to our Chapter success. We cannot afford to let anyone’s talents be underutilized.

The Chapter is an equal employment/affirmative action employer. We are committed to providing a workplace that is free of discrimination of all types from abusive, offensive or harassing behavior.

Any employee who feels harassed or discriminated against should report the incident to his or her manager or the Executive Director.

#### **5. Create a Culture of Open and Honest Communication**

At the Chapter, we encourage open and honest communication with respect to the Chapter’s operations, particularly with respect to ethics concerns. We all benefit when employees exercise their power to prevent mistakes or wrongdoing by asking the right questions at the right times.

The Chapter will investigate all reported instances of questionable or unethical behavior. If improper behavior has occurred, the Chapter will take appropriate action. We will not tolerate retaliation against employees who raise genuine ethics concerns in good faith.

The Chapter’s Whistleblower Policy provides guidelines related to reporting improper behavior. Employees are encouraged, in the first instance, to address such issues with their manager. If that is not possible or if an employee is not comfortable raising the issue with his or her manager, the Executive Director operates with an open-door policy. Complaints involving the Executive Director should be reported to the Chairperson of the Board or any Board member.

#### **6. Set Tone at the Top**

Management has the added responsibility for demonstrating, through its actions, the importance of this Code. We are committed to clear and direct communication of behavioral expectations, and strive to model appropriate behavior from the top and

demonstrate our commitment to the values set forth in the Code by example. Again, ultimately, our actions are what matters.

Managers are responsible for promptly addressing ethical questions or concerns raised by employees. Employees' ethics concerns will not be considered as threats or challenges, but rather as another encouraged form of communication. Our goal is that ethics dialogue to become a natural part of daily work at the Chapter.

## **7. Uphold the Law**

The Chapter's commitment to integrity begins with complying with laws, rules and regulations. Each of us must have an understanding of the Chapter's policies and the laws, rules and regulations that apply to our specific roles. If you are unsure of whether a contemplated action is permitted by law or Chapter policy, you should seek the advice from the resource expert. We are responsible for preventing violations of law and for speaking up if we see possible violations.

## **8. Protect Nonpublic Information**

We will not selectively disclose (whether in one-on-one or small discussions, meetings, presentations, proposals or otherwise) any nonpublic information with respect to the Chapter, its securities, business operations, plans, financial condition, results of operations or any development plan.

## **9. Avoid Conflicts of Interest**

We must avoid any relationship or activity that might impair, or even appear to impair, our ability to make objective and fair decisions when performing our jobs. We owe a duty to the Chapter to advance its legitimate interests when the opportunity to do so arises. We must never use the Chapter's property or information for personal gain or personally take for ourselves any opportunity that is discovered through our position with the Chapter.

Here are some ways in which conflicts of interest could arise:

- Being employed (you or a close family member) by, or acting as a consultant to, a competitor or potential competitor, a supplier or contractor, regardless of the nature of the employment, while you are employed with the Chapter.
- Hiring or supervising family members or closely related persons.
- Owning or having a substantial interest in a competitor, supplier or contractor.
- Having a personal interest, financial interest or potential gain in any Chapter transaction.
- Placing Chapter business with a firm owned or controlled by a Chapter employee or his or her family.
- Accepting gifts, discounts, favors or services from a customer, competitor or potential competitor or supplier, unless equally available to all Chapter employees.

Determining whether a conflict of interest exists is not always easy to do. Employees with a conflict of interest question should seek advice from management. Before engaging in any activity, transaction or relationship that might give rise to a conflict of interest, employees must seek guidance from the Executive Director or a member of the Board of Directors.

## **10. Set Metrics and Report Results Accurately**

### **A. Financial Transparency**

Preserving the very important trust each donor places in the Chapter is critical to the Chapter's success. The Chapter will build trust and credibility with current and future donors through transparency.

### **B. Accurate Public Disclosures**

As part of being transparent, we will make certain that all disclosures made in financial reports and public documents, including filings with the Internal Revenue Service, are full, fair, accurate, made in timely fashion and are understandable. No Chapter goal of any kind is ever an excuse for misrepresenting facts or falsifying records.

Employees should inform management if they learn that information in any filing or public communication was inaccurate or misleading at the time it was made or if subsequent information would affect a similar future filing or public communication.

## **11. Corporate Recordkeeping**

We create, retain and dispose of our Chapter's records as part of our normal course of business in compliance with all Chapter policies and guidelines, as well as all regulatory and legal requirements.

All corporate records must be true, accurate and complete. Chapter data must be promptly and accurately entered in our books in accordance with the Chapter's and other applicable accounting principles.

We will not improperly influence, manipulate or mislead any audit, nor interfere with any auditor engaged to perform an audit of the Chapter's books, records, processes or internal controls.

## **12. Promote Substance Over Form**

At times, we are all faced with decisions we would rather not have to make and issues we would prefer to avoid. Sometimes, we hope that if we avoid confronting

a problem, it will simply go away.

At the Chapter, we must have the courage to tackle the tough decisions and make difficult choices, secure in the knowledge that the Chapter is committed to doing the right thing. At times, this will mean doing more than simply what the law requires. Merely because we can pursue a course of action does not mean we *should* do so.

Although the Chapter's guiding principles cannot address every issue or provide answers to every dilemma, they can define the spirit in which we intend to do business and should guide us in our daily conduct.

### **13. Accountability**

Each of us is responsible for knowing and adhering to the values and guiding principles set forth in this Code and for raising questions if we are uncertain about the Chapter's policy. If we are concerned whether the Chapter's ethics standards are being met or are aware of violations of the Code, we must use the reporting process established in the Chapter's Whistleblower Policy. The Chapter takes seriously the standards set forth in this Code, and violations are cause for disciplinary action up to and including termination of employment.

### **14. Be Loyal**

#### **A. Confidential and Proprietary Information**

Integral to the Chapter's success is our protection of confidential information, as well as nonpublic information entrusted to us by employees, the people we serve and their families and other Chapter partners. Confidential and proprietary information includes, but is not limited to, such things as financial information, names/addresses or nonpublic information about our donors and patients. We will not disclose confidential and nonpublic information without a valid business purpose and proper authorization.

#### **B. Use of Chapter Resources**

Chapter resources, including time, material, equipment and information, are provided to promote the Chapter's mission. However, occasional personal use is permissible as long as it does not affect job performance or cause a disruption to the workplace.

Employees and those who represent the Chapter are required to behave responsibly and use good judgment to conserve the Chapter's resources. Managers are responsible for the resources assigned to their departments and are empowered to resolve issues concerning their proper use.

Generally, we will not use the Chapter's equipment such as computers, copiers and fax machines in the conduct of any outside business or in support of any religious, political or other outside activity, except for Chapter-requested support to nonprofit organizations. We will not distribute non-work related materials during work hours.

In order to protect the interests of the Chapter network and its employees, the Chapter reserves the right to monitor or review all data and information contained on an employee's Chapter-issued computer or electronic device, the use of the Internet or the Chapter's intranet. We will not tolerate the use of Chapter resources to create, access, store, print, solicit or send any materials that are or can be regarded as harassing, threatening, abusive, sexually explicit or otherwise offensive or inappropriate.

Questions about the proper use of company resources should be directed to your manager or the Executive Director.

### **C. Media Inquiries**

All media inquiries should be directed to the Executive Director. No one may issue a press release without first consulting with the Executive Director.

## **15. Do the Right Thing**

Several key questions can help identify situations that may be unethical, inappropriate or illegal. Ask yourself:

- Does what I am doing comply with the Chapter's values, guiding principles, Code of Conduct and policies?
- Have I been asked to misrepresent information or deviate from normal procedure?
- Would I feel comfortable describing my decision at a staff meeting?
- Would this activity embarrass the Chapter or me if it showed up in the press?
- Am I being loyal to my family, the Chapter and myself?
- What would I tell my child to do?
- Is this the right thing to do?

*Approved by the Board of Directors December 13, 2016*