

**Alzheimer's Association® Desert Southwest Chapter**  
**Ethics Policy**

*As Originally Adopted by the Board of Directors November 19, 2004 and Updated March 25, 2011*

### **General Policy Summary**

The vision of the Alzheimer's Association is a world without this devastating disease. Until this vision can become a reality, our nationwide mission is to eliminate Alzheimer's through the advancement of research, to provide and enhance care and support for all affected, and to reduce the risk of dementia through the promotion of brain health.

Individuals give the valuable gift of their time and talents to the Alzheimer's Association Desert Southwest Chapter ("the Chapter"), either as paid employees or as volunteers, because of their caring commitment to our full mission and to offer support to individuals with Alzheimer's disease and their families in Arizona and Southern Nevada. Together, we have a critical responsibility to ensure the highest ethical standards in our services to families who are struggling with this devastating disease. As a non-profit 501(c)(3) charitable organization, the trust of our donors, supporters and the community at large is imperative to our ability to continue our work.

The Chapter sets and expects high standards of ethical behavior from its staff members, consultants, and volunteers serving on its Chapter Board, Regional Leadership Councils, Committees, and within programs and activities. As such, all staff members, consultants, and volunteers are expected to conduct themselves in accordance with high standards of personal integrity, will manage and conduct the Chapter's work according to established principles of business ethics, and will comply with all applicable laws and governmental regulations and guidelines established in the policies of the Alzheimer's Association.

The Ethics Policy is provided to prospective, new and continuing members of the Chapter's staff, consulting, and volunteer teams. The general categories contained within this policy are ***Conflict of Interest, Acceptance of Donations, Authority to Act on Behalf of the Chapter, Confidentiality, and Deportment.***

### **Conflict of Interest**

Policy Summary: The Chapter recognizes and appreciates the myriad of relationships, interests, and memberships of staff members, consultants, and volunteers. In this regard, staff, consultants, and volunteers are required to be individuals with high ethical standards, good values and integrity, who are interested in becoming involved or are already involved with the Chapter to serve the organization's full mission. Accordingly, these individuals avoid situations that could compromise the integrity and independence of the Chapter's decision-making processes, public confidence, or reputation. It is therefore presumed that these guidelines will be supplemented by good judgment and open communication about potentially questionable areas, as not all possible situations of actual or potential conflict of interest can be specifically defined in this policy statement.

The Chapter requires disclosure of any known or reasonably foreseeable actual or potential conflicts of interest by each staff member, consultant, and volunteer as a condition for service to the Chapter. A disclosed conflict of interest shall not necessarily bar a staff member, consultant, or volunteer from serving the Chapter. Any disclosure will be evaluated based upon the person's position with respect to decision-making authority and the potential impact to the Chapter. As an example, a Board or Regional Leadership Council member may need to refrain from voting in matters reflecting their interest disclosures.

Definition: A conflict of interest exists when the personal, professional, or proprietary interests of a staff member, consultant, volunteer or a member of that person's family may influence or appear to influence the

actions or decisions of that person in a manner contrary to the best interest of the Chapter. A “potential” conflict of interest is one that has a foreseeable likelihood while an “actual” conflict has a foreseeable certainty.

Staff members, consultants and volunteers are expected to exercise the powers invested for the good of the Chapter rather than for personal benefit or the benefit of another business or organization they represent. Situations involving actual or potential conflicts of interest include, but are not limited to:

- Conducting business with the Chapter. An employee, consultant, volunteer, or a member of that person’s family contracts with the Chapter to buy or sell goods or services, or otherwise derive some personal, professional, or proprietary gain.
- Usurping a Chapter opportunity. Usurping refers to taking unfair personal advantage of an opportunity presented to or arranged by the Chapter. This may occur if an employee, consultant, volunteer, or a member of that person’s family acquires for his/her own personal, professional or proprietary benefit a business or other positional opportunity that would have been beneficial and appropriate for the Chapter.
- Competing with the Chapter. An employee, consultant, volunteer, or a member of that person’s family competes (directly or indirectly) with the Chapter for a business or other opportunity from which he/she may derive some personal, professional, or proprietary gain.
- Misusing Chapter information or relationships. An employee, consultant, volunteer, or a member of that person’s family uses information concerning the Chapter’s affairs or relationships for a business or other opportunity from which he/she derives personal, professional, or proprietary gain to the detriment of the Chapter.

Specific examples of conflict of interest may include, but are not limited to:

- Personally accepting a fee, donation, or gift of monetary value from a client, business or organization for services rendered by the Chapter.
- Personally accepting gifts, favors or services from any person, organization, vendor, or supplier with the intention of seeking or maintaining a business relationship with the Chapter.
- Soliciting Chapter clients, donors, staff, and volunteers to sell items or services for personal gain.
- Benefiting financially as a result of involvement with the Chapter, with the exception of salaries/wages for employees and contracted payments to consultants.
- As an employee, holding a second job or consulting contract that creates a perceived conflict of interest.
- As a Board or Regional Leadership Council volunteer who is employed by a company that may potentially conduct business with the Chapter, a disclosure statement is needed. Depending upon the nature of the potential interest and position of the volunteer, the disclosure may be resolved by prohibiting the volunteer from voting on or in any way influencing related Chapter business.
- Ownership, employment, or interest in an organization, practice or business that serves people impacted by dementia does not normally constitute a conflict of interest, but is to be included in the attached Disclosure Form to avoid a potential perception of conflict.

Procedure: It is the responsibility of staff, consultants, and volunteers to disclose to the best of their ability, any interest, potential conflicts of interest or situations, which may appear to be conflicts of interest from past, current, and future dealings. Disclosures are to be made prior to beginning service, on a regular basis depending upon position as determined by policy, and from time to time as needed when personal situations may change.

Disclosures are to be made in writing (see Acknowledgment and Disclosure Form, page 4) to the supervisor or volunteer leader, who, in turn, will bring such disclosures to the attention of the Chapter Board’s Executive Committee for review and resolution. The Executive Committee will determine if the disclosed interests constitute a potential or actual conflict and if so shall determine any required actions.

## **Acceptance of Donations on Behalf of the Chapter**

**Policy Summary:** It is the policy of the Alzheimer's Association Desert Southwest Chapter that donations received by staff, consultants, and volunteers shall be consistently managed at all times for the benefit of the Chapter and within guidelines, *policies* and procedures established by the Chapter and the National Alzheimer's Association.

**Procedure:** Any donations made by check to the Alzheimer's Association Desert Southwest Chapter should be made out to: *Alzheimer's Association, or Alzheimer's Association Desert Southwest Chapter*. If a check is inadvertently made out to a staff or volunteer, the individual is to endorse the check and indicate "Pay to the Order of the Alzheimer's Association," rather than cash the check and turn in cash to the Association.

Donations given directly to staff or volunteers should not be unduly delayed in being turned in to or mailed to the Chapter or Regional Office. Donations coming in for Walk to End Alzheimer's™ may be held to turn in with team receipts. All large checks and cash donations (\$100 or more) are to be turned in within three days of receipt for safekeeping and processing.

## **Authority to Act on Behalf of the Chapter**

**Policy Summary:** The Chapter values the high level of involvement and efforts by its staff, consultants, and hundreds of volunteers. However, the encouragement of and authority to act on behalf of the Chapter does not extend to matters concerning contractual or financial obligations. The Chapter Board, as a whole, is responsible for the annual approval of the budget and ongoing monitoring of financial and fiduciary status. The Chapter Board authorizes the Executive Director to act on its behalf, within the guidelines established by budget and internal controls, to enter into agreements for the Chapter. The Executive Director may delegate this authority, on specific occasion, to other employees of the Chapter. Volunteers are not authorized to act in a manner that financially or contractually obligates the Chapter.

## **Confidentiality**

**Policy Summary:** The Chapter receives highly sensitive information given to us in trust by the people we serve and the people who support our organization. It is the policy of the Chapter that staff, consultants, and volunteers may not disclose, divulge or make accessible confidential information belonging to or obtained through their affiliation with the Chapter. This policy is not intended to prevent disclosure where required by law or when specific written authorization has been provided by the affected party.

Confidential information is defined as, but not limited to, personal information about an individual who is seeking or receiving services or donating to the organization, which has been communicated to the Chapter's staff and volunteers. It is the individual's right and expectation that such information be respected and safeguarded by the Chapter. Confidentiality may also apply to human resources, development, research, programs, financial, and other sensitive information relating to the affairs of the Chapter.

Staff, consultants, and volunteers are expected to exercise good judgment and care at all time to avoid unauthorized or improper disclosures of confidential information. Conversations in public places should be limited to matters that do not pertain to information of a sensitive or confidential matter. Staff and volunteers are expected to safeguard client and donor information on their desks or otherwise in plain view, and refrain from using speaker phones if the conversation could be heard by an unauthorized persons. Client and donor lists are not shared with other organizations, businesses or individuals outside of the Alzheimer's Association, in keeping with the Chapter's "*Pledge for Excellence in Ethical Fundraising*".

## **Department**

**Policy Summary:** Staff, consultants, and volunteers are expected to represent the Chapter in a positive and professional manner. As such, they are not to engage, directly or indirectly, either at or away from Chapter activities, in any manner that can be considered disloyal, disruptive, or damaging to the Chapter.

**Alzheimer’s Association Desert Southwest Chapter  
Ethics Policy Acknowledgement and Disclosure Form**

**I have read and understand the Ethics Policy. I also understand that my failure to comply with the Ethics Policy may cause me to be dismissed from my position as an employee, consultant, or volunteer.**

**As defined in the Conflict of Interest Policy, (please put a check mark in front of the statement more applicable to you.)**

**I know of no circumstances that actually or potentially involve a conflict of interest for me.**

**I believe the following may be actual or potential conflict(s) of interest for me. (Please describe all potential conflicts of interest in the area provided below.)**

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**The above information is to the best of my ability a comprehensive disclosure of all activities relevant to a determination of a Conflict of Interest (this includes present and anticipated activity).**

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PRINT NAME

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

*Processing: The supervisor/ lead staff is to retain the original signed form in the office and submit a copy to the Executive Director if disclosures are noted. This information will be forwarded by the Executive Director to the Executive Committee to review the information and provide a response of any action that may be necessary*