

KENTUCKY STATE UNIVERSITY FOUNDATION, INC.

CODE OF CONDUCT AND ETHICAL PRINCIPLES

Ethical Principles

The Kentucky State University Foundation Code of Conduct and Ethical Principles are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, Regents, students, volunteers, contractors, and the public. The following core values guide our decisions and behavior.

- Integrity
- Mutual respect and human dignity
- Diversity of thought, culture, gender, and ethnicity
- Personal and institutional responsibility and accountability
- A sense of community
- Sensitivity to work-life concerns
- Civic responsibility

Each member of the Foundation Board and Staff must endeavor to:

1. promote the best interests of the Kentucky State University Foundation
2. foster the Vision, Mission, and Values of the Foundation
3. preserve the public's respect and confidence in the Foundation
4. exhibit personal integrity, honesty, and responsibility in all actions
5. provide an environment of mutual respect, impartiality, and collaboration
6. maintain confidentiality in all matters deemed confidential
7. assure independence of judgment free from conflicting interests
8. ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and Foundation guidelines are followed
9. comply with the policies and procedures of the Kentucky State University Foundation and applicable state and federal laws and regulations
10. demonstrate stewardship of Foundation property and resources

Code of Conduct

Those acting on behalf of the Kentucky State University Foundation have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the Foundation and to act compatibly with their obligation to the Foundation. The Code of Conduct establishes guidelines for professional conduct for Foundation Trustees and staff members.

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. In addition to the Code, Foundation Trustees and staff members are generally subject to all Foundation Board Policies, Administrative Regulations, and state and federal law. Violations of this code will be subject to appropriate penalties.

Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the Foundation in recruitment, appointment, promotion, payment, training, and other employment practices without regard to sex, sexual orientation, race, ethnic origin, national origin, color, creed, religion, age, uniform service or

veteran status, physical or mental disability, or political belief. All Foundation Trustees and staff members are expected to comply with this nondiscrimination policy.

Confidentiality of Information

Foundation Trustees and staff members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting Foundation business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or Foundation regulations, personal and official information provided by and about all aspects of the Foundation's operations must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, Foundation Trustees and Board Members should presume information is confidential until determined otherwise.

Use of the Foundation's Name

Trustees and staff members have a public association with the Foundation, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. Foundation Trustees and staff members may not use or allow the use of the name of the Foundation or identify themselves as staff members of the Foundation in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the Foundation, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the Foundation, care must be taken to emphasize that any views expressed are their own and are not representative of the Kentucky State University Foundation. Foundation Trustees and staff members are encouraged to contribute to public debate as citizens. In instances where Foundation Trustees and staff members comment publicly as part of their official duties, they should do so using Foundation stationery and e-mail accounts; when commenting as citizens, Foundation Trustees and staff members must use personal stationery and personal e-mail accounts.

Foundation Resources

Trustees and staff members should be responsible stewards of Foundation resources. Foundation Trustees and staff members are entrusted with protecting the property, equipment, and other assets of the Foundation and exercising responsible, ethical behavior when using the Foundation's resources. Foundation assets are intended for Foundation activities. Limited personal use of fixed Foundation resources, such as computers and telephones, which does not result in a charge to the Foundation is permitted as long as the use does not interfere with assigned job duties. In some instances, a Foundation Trustee or staff member may use Foundation equipment outside of the realm of his or her professional duties when the goals of the individual and the Foundation coincide. Any such use must not result in any income to the Trustee or staff member.

Sexual Harassment

To foster an environment of respect for the dignity and worth of all members of the Foundation community, the Foundation is committed to maintain a work-learning environment free of sexual harassment. Complaints of sexual harassment will be treated and investigated with full regard for the Foundation's due process requirements.

Personal Relationships

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The Foundation strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or staff member.

Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the Kentucky State University Foundation foremost. Conflicts of commitment relate to an individual's distribution of effort between Foundation appointment and outside activities.

Conflict of Interest

The public's respect and confidence in the Kentucky State University Foundation must be preserved. Confidence in the Kentucky State University Foundation is put at risk when the conduct of Foundation Trustee or staff member does, or may reasonably appear to, involve a conflict between private interests and obligations to the Foundation. All Foundation Trustees and staff members shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.

Financial Advantage

Members of the Foundation community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Purchases and contracts shall not be made with an staff member of the Kentucky State University Foundation for any item of supply, equipment, or service, nor may an staff member have any interest, directly or indirectly, in any purchase made by Kentucky State University Foundation. An indirect interest may be defined as a real or perceived use of a Foundation position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the Foundation.

Acceptance of Gifts or Benefits

Foundation Trustees and staff members' decisions and actions should be based on the best interest of the Foundation. No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position with the Foundation may be accepted. Disclosure and approval of such gifts and hospitality is expected. The following guidelines should be observed:

- Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported
- Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the Executive Secretary prior to acceptance
- Acts of professionally related hospitality above \$200 must be specifically justified and reported.
- Individuals may not accept gifts valued above \$200.

Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the Foundation's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation regarding this policy, such individual in authority may contact legal counsel.

Foundation Trustees and staff members are expected to report violations of this policy to an appropriate individual. The Foundation will not tolerate any retaliation against a Foundation Trustee or staff member who makes a good faith report of a violation.