



4083 Wing Commander Way, Suite 50
Lexington, KY 40511
859-259-2742 | Fax: 859-259-1628

CODE OF ETHICS

PREAMBLE:

The American Saddlebred Horse and Breeders Association (“ASHBA”) has a unique role as a national leader of services that promote the American Saddlebred horse and as a major resource to local affiliate organizations. The ASHBA has earned public trust by years of ethical, honest, and responsible service. The continued success of ASHBA and its local affiliate organizations depends upon the ethical conduct of ASHBA, its employees, volunteers, directors, and representatives.

The ASHBA places the highest priority on its relationship with its 7,000 plus members. As a part of this relationship, ASHBA responds to, serves, and supports its members in working to increase our organized capacity to safeguard the future of the American Saddlebred horse. ASHBA strives to create a vision and direction that will generate leadership and encourage members to contribute to our efforts.

The ASHBA employees set an example for other nonprofit equine organizations by their high standards of performance, professionalism, volunteerism, and ethical conduct. This Code of Ethics is the policy of ASHBA and expresses fundamental values. Accordingly, this Code guides the conduct of all employees, volunteers, and trustees of ASHBA and is intended to foster an environment that promotes ethical conduct in carrying out their responsibilities.

ASHBA PURPOSE:

The purposes for which the Corporation is organized shall be to stimulate, promote interest in and regulate any and all matters as may pertain to the history, breeding, exhibition, publicity, use and improvement of the American Saddlebred, including (i) establishing, maintaining, and publishing a register for the recording of pedigree and transfers of ownership of American Saddlebred horses, (ii) developing a higher degree of efficiency in the breeding and raising; and bettering the conditions of persons engaged in the breeding and raising of American Saddlebred horses and guarding the purity of the breed thereof, and (iii) promoting the humane treatment of American Saddlebred horses, and (iv) publishing and distributing news of Association events and articles of general interest.

PERSONAL INTEGRITY:

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

Respect and seek out the truth and avoid misrepresentation.

Ensure fairness and objectivity in all activities.



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Set an example, as employees of a leading nonprofit organization, for high standards of professionalism.

Honor the right to privacy of all people, including co-workers, contributors, and members.

Promote member confidence in ASHBA endeavors.

PROFESSIONAL EXCELLENCE:

As an employer, ASHBA promotes professional excellence and encourages open and honest communication among all employees to create an atmosphere conducive to personal growth and career development.

ASHBA Management:

Encourages employee development, and communicates with personnel to help them achieve their goals and increase their self-esteem through job enrichment.

Evaluates employees on a fair and consistent basis, so that all employees know what is expected of them and how they are progressing toward fulfilling expectations.

Shows respect and empathy for employees, and is considerate while being mindful of managerial responsibilities.

Regularly solicits, and respects the opinions of subordinates.

ASHBA Employees:

Strive to meet performance standards at the highest level.

Refuse to engage in or tolerate any fraud, misuse, abuse or waste of ASHBA resources.

Encourage growth and self-improvement in themselves and their co-workers.

Exhibit respect for co-workers and all those they came into contact with.

Have the courage to face situations squarely and offer a minority opinion when necessary.

Examine all alternatives with the understanding that the easiest action is not always in the best interest of the organization.



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Comply with all legal requirements concerning substance abuse.

Comply with all other laws and regulations affecting the organization and their personal obligations.

Discuss any questions concerning interpretations or compliance with the code of ethics with their supervisor or a member of the Ethics Committee.

Encourage the reporting of breaches of the Code and protect those who report.

ACCOUNTABILITY AND EFFICIENCY:

ASHBA has responsibilities to its members which include local affiliate organizations, donors and other stakeholders. These “customers” have placed faith in the American Saddlebred Horse and Breeders Association. To uphold this trust, ASHBA employees:

Make full and fair disclosures of all relevant information to customers, who have a right to know how their dollars are spent.

Spend customers’ money wisely, efficiently and objectively.

Are good stewards of membership fees, grants, and other contributions that are utilized by ASHBA to pay operating expenses, salaries, and employee benefits, and refrain from allowing expenditures of ASHBA funds that by their nature or amount do not directly advance ASHBA’s purpose.

RESPONSIBILITIES TO VOLUNTEERS:

Volunteers who serve ASHBA through its Board of Directors, Committees, or otherwise are crucial to the success of ASHBA. In order to assist volunteers to serve effectively and to obtain satisfaction from their service, ASHBA supervisors and employees:

Support volunteers so they can perform to the highest level of their contribution and personal satisfaction.

Treat all volunteers with fairness, equity and respect, providing appropriate mechanisms for their views and interests to be expressed.

Involve volunteers at appropriate levels and phases of the decision- making process.

Assist in the development and the understanding of the roles of volunteers and employees, respectively; set clear standards of performance for volunteers; and appropriately recognize their contributions.

Provide benefits and perquisites to volunteers which are consistent with the spirit of volunteerism.



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RESPONSIBILITIES OF VOLUNTEERS:

Volunteers also represent the American Saddlebred Horse and Breeders Association and set examples through their ethical conduct and professionalism. Volunteers:

Review the Code of Ethics of ASHBA and ensure that they adhere to the spirit of the Code when making decisions or otherwise managing the affairs of the organization.

Do not knowingly take any action or make any statement intended to influence the conduct of ASHA in such a way as to confer any financial benefit on such volunteers, their immediate family members, or any organization in which they or their family members have a significant interest.

In the event that there comes before the Board of Directors or the Executive Committee a matter for consideration or decision that arises a potential conflict of interest for any member of the board or the committee, the member shall disclose the potential conflict of interest as soon as he or she becomes aware of it, and shall withdraw from the meeting room during discussion, review, and voting in connection with the matter. The disclosure and withdrawal shall be recorded in the minutes of the meeting.

VENDOR RELATIONS:

Vendors are treated fairly to avoid favoritism or appearances of impropriety. ASHBA:

Affords all vendors the opportunity to offer or qualify their products or services on a competitive basis.

Conducts all competitive bidding in a fair and professional manner, giving no special preferences or advantages to any vendor. Purchases all products and services under its purchasing procedures, which adhere to this Code of Ethics.

EQUAL OPPORTUNITY:

ASHBA is an equal opportunity employer. ASHBA employees:

Respect all co-workers and all other individuals without regard to race, color, religion, creed, age, sex, national origin or ancestry, marital status, veteran status, or status as a qualified disabled or handicapped individual.

Support affirmative action and equal employment opportunity programs throughout ASHBA.

Refuse to engage in or tolerate in others any form of sexual harassment.

Strive to create an environment conducive to professionalism.



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CONFLICT OF INTEREST:

To avoid the appearance of a conflict of interest, which would tarnish the image of the organization and undermine member trust in the ASHBA, ASHBA employees:

Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of ASHBA, including involvement with a current or potential ASHBA vendor, grantee, or competing organization, unless disclosed to and not deemed to be inappropriate by the employee's supervisor.

Refrain from participating in or influencing any decision or other action of ASHBA or any local ASHBA organization with which the employee is materially affiliated.

PERSONAL GAIN:

No employee should accept any gratuity or favor for doing his or her job. ASHBA employees:

Do not solicit or accept gratuities, gifts or favors, other than promotional gifts of nominal value, for themselves or their families.

Do not accept food, transportation, lodging, or entertainment unless directly related to ASHBA business. Do not use ASHBA resources for personal gain.

TRAVEL, ENTERTAINMENT, AND RELATED EXPENSES:

Travel, entertainment and related expenses are incurred on a basis consistent with the purpose of ASHBA. Accordingly, expenses incurred will comply with policies adopted by the ASHBA Board of Directors.

OUTSIDE EMPLOYMENT AND OTHER ACTIVITIES:

Employees ensure that outside employment and other activities do not interfere with their responsibilities with ASHBA, and do not adversely affect ASHBA. Employees are encouraged to inform their supervisor of any significant outside activities. Employees do not use ASHBA resources to facilitate any outside employment or other activity.



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FAVORITISM:

Favoritism based on family or close personal relationships is unfair to other employees. The appearance of favoritism is easily perceived, even in some cases of friendship that are harmless. Accordingly:

Persons related to ASHBA employees by blood or marriage are not employed except under special circumstances that are clearly in the best interest of ASHBA and disclosed immediately to the Ethics Committee.

ASHBA employees do not supervise or exercise management authority over staff with whom they have a relationship that adversely affects impartiality.

ASHBA employees consider the nature and appearance of their relationships with other employees to ensure that their decisions and actions are fair to all staff.

ASHBA employees with decision-making authority do not improperly influence the selection of consultants or service providers who are affiliated with, or employ or are employed by, a person with whom they have a relationship that adversely affects impartiality.

SOLICITATIONS:

ASHBA employees are not subjected to outside solicitation. Further, employees are free from unwarranted interruptions in the form of solicitations from other employees, in order to concentrate on work. ASHBA employees:

Do not solicit or distribute literature for purposes inconsistent with the ASHBA purpose on ASHBA premises.

Do not use ASHBA working time for non-ASHBA purposes.

Are never required to contribute or respond to a solicitation for fear that their response will be a factor in their career standing.

CONFIDENTIAL INFORMATION:

Confidentiality is a hallmark of professionalism. ASHBA employees:

Ensure that all information which is confidential or privileged or which is not publicly available is not disclosed inappropriately.



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Ensure that all non-public information of other persons or firms acquired by ASHBA personnel in dealing with outside firms on behalf of ASHBA is treated as confidential and not disclosed.

DISCLOSURE:

ASHBA employees and representatives are encouraged to disclose any perceived breaches of the Code of Ethics of which they are aware. Disclosure should be made to a supervisor or a member of the Ethics Committee. Any reported breaches will be investigated and appropriate action, if needed, will be taken. Confidentiality will be maintained for the employee disclosing the breach, unless the matter raises serious legal implications. In such instances, the employee disclosing the breach will be notified. ASHBA management will not take any adverse action against employees solely for disclosing perceived breaches of the Code. ASHBA encourages all employees to be prompt, open, and forth-right in reporting perceived breaches of the Code of Ethics.

This Code of Ethics is annually examined, updated and restated through a joint effort of the board and staff representatives, and is approved and signed by the Board of Directors.