



4083 Iron Works Parkway
Lexington, KY 40511
859-259-2742 | Fax: 859-259-1628

CODE OF ETHICS

PREAMBLE:

The ASHA 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 ASHA has earned public trust by years of ethical, honest, and responsible service. The continued success of ASHA and its local affiliate organizations depends upon the ethical conduct of ASHA, its employees, volunteers, directors, and representatives.

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

The ASHA 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 ASHA and expresses fundamental values. Accordingly, this Code guides the conduct of all employees, volunteers, and trustees of ASHA and is intended to foster an environment that promotes ethical conduct in carrying out their responsibilities.

ASHA 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 THE AMERICAN SADDLEBRED magazine periodically to the Association membership, including 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



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organization. ASHA employees:

- Respect and seek out the truth and avoid misrepresentation.
- Ensure fairness and objectivity in all activities.
- 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 ASHA endeavors.

PROFESSIONAL EXCELLENCE:

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

ASHA 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.

ASHA Employees:

- Strive to meet performance standards at the highest level.
- Refuse to engage in or tolerate any fraud, misuse, abuse or waste of ASHA 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:

ASHA has responsibilities to its members which include local affiliate organizations, donors and other stakeholders. These “customers” have placed faith in the American Saddlebred Horse Association. To uphold this trust, ASHA 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 ASHA to pay operating expenses, salaries, and employee benefits, and refrain from allowing expenditures of ASHA funds that by their nature or amount do not directly advance ASHA’s purpose.

RESPONSIBILITIES TO VOLUNTEERS:

Volunteers who serve ASHA through its Board of Directors, Committees, or otherwise are crucial to the success of ASHA. In order to assist volunteers to serve effectively and to obtain satisfaction from their service, ASHA 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 Association and set examples through their ethical conduct and professionalism. Volunteers:

- Review the Code of Ethics of ASHA 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. ASHA:

- 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:

ASHA is an equal opportunity employer. ASHA 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 ASHA.
- 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 ASHA, ASHA employees:

- Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of ASHA, including involvement with a current or potential ASHA 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 ASHA or any local ASHA organization with which the employee is materially affiliated.

PERSONAL GAIN:

No employee should accept any gratuity or favor for doing his or her job. ASHA 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 ASHA business. Do not use ASHA resources for personal gain.

TRAVEL, ENTERTAINMENT, AND RELATED EXPENSES:

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

OUTSIDE EMPLOYMENT AND OTHER ACTIVITIES:

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

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:



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- Persons related to ASHA employees by blood or marriage are not employed except under special circumstances that are clearly in the best interest of ASHA and disclosed immediately to the Ethics Committee.
- ASHA employees do not supervise or exercise management authority over staff with whom they have a relationship that adversely affects impartiality.
- ASHA employees consider the nature and appearance of their relationships with other employees to ensure that their decisions and actions are fair to all staff.
- ASHA 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:

ASHA 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. ASHA employees:

- Do not solicit or distribute literature for purposes inconsistent with the ASHA purpose on ASHA premises.
- Do not use ASHA working time for non-ASHA 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. ASHA employees:

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



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DISCLOSURE:

ASHA 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. ASHA management will not take any adverse action against employees solely for disclosing perceived breaches of the Code. ASHA 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.