

SEIU Local 1021 CODE OF ETHICS POLICY

Preamble

Union members place tremendous trust in their leaders. SEIU Local 1021 executive board members, elected/appointed chapter leaders, and all staff owe members the highest level of ethical behavior in the exercise of all leadership decisions and financial dealings on members' behalf. Members have a right to proper stewardship over union funds and transparency in the expenditure of union dues. Misuse and inappropriate use of resources or leadership authority undermine the confidence members have in the Union and weaken it. Corruption in all forms will not be tolerated in SEIU Local 1021. This *Code of Ethics Policy* strengthens the Union's ethics, rules of conduct, organizational practices and enforcement standards and thus enhances the Union's ability to accomplish its important mission.

The SEIU Local 1021 Code is applicable in its entirety to all elected chapter officers, stewards, executive board members and employees of SEIU Local 1021.

(a) General Duty to Protect Members' Funds.

When the assets and funds of a chapter or the Local are held in trust for the benefit of the membership, members are entitled to assurance that those assets and funds are expended for proper and appropriate purposes. All executive board members, elected chapter officers whether elected or appointed, and all employees of SEIU Local 1021 have a trust and high fiduciary duty to honestly and faithfully serve the best interests of the membership.

(b) Payments and Gifts from Employers, Vendors and Members.

Covered individuals of this code shall not knowingly accept any payments, benefits or gifts of more than minimal financial value from any employer that engages or seeks to engage in collective bargaining with SEIU Local 1021, or from any business or professional firm that does business or seeks to do business with SEIU Local 1021.

(c) Conversion of Union Funds and Property.

Covered individuals shall not use, convert or divert any funds or other property belonging to SEIU Local 1021 to such individual's personal benefit or advantage.

Enforcement

SEIU Local 1021 Ethics Liaison is an Executive Board member appointed by the President of the Local, who will be available for ethics advice or guidance, and serves as the key contact with the International's Ethics Ombudsperson. The Ethics Liaison assists in enforcement of the Code, oversees the annual delivery of ethics-related trainings that include chapter officers, and assists the Local and chapters in strengthening their ethical culture.

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Any covered individual or member may file a written complaint concerning alleged violations of the Code. Oral concerns and complaints shall be reduced to writing for further processing as a complaint. Complaints should be signed or contain the name of the complainant(s), and shall be kept confidential.

Ethics complaints that are raised with or referred to the ethics liaison shall be investigated and, where appropriate, may form the basis of employee discipline or formal internal union charges.

Failure to Cooperate; Bad Faith Complaints.

Unreasonable failure by a covered individual to fully cooperate with a proceeding or investigation involving an ethics complaint or alleged violation of this Code shall constitute an independent violation of this Code. SEIU reserves the right, subject to notice, investigation and due process, to discipline persons who make bad faith, knowingly false, harassing or malicious complaints, reports or inquiries.

- (a) If after review of the allegations of violations of the Code in a complaint or formal charge, the Ethics Liaison finds that the allegations have merit and/or warrant further investigation, they shall recommend a response or course of action in response to the complaint or charges, including but not limited to the following:
 - (1) Further investigation by SEIU personnel and/or outside investigator(s);
 - (2) Discipline of covered employees
 - (3) Sanction of covered Local 1021 chapter officers accused in formal written complaints
 - (4) Other action deemed appropriate in the discretion of the President of the Local and the Local 1021 Ethics Liaison.
- (b) If the Ethics Liaison concludes, after review of allegations of violations of the Code, that the allegations are without merit or that further investigation is not necessary, he or she shall advise the Personnel Director/ Head of Operation.