

SEIU 775

Constitution and Bylaws

As adopted and ratified by the Founding Convention of SEIU 775, held on January 11, 2004 and approved by SEIU on February 27, 2004, and as amended

- at the February 27, 2005 Convention;
- at the January 15, 2006 Convention;
- by a vote of the membership on November 16, 2006;
- at the February 19, 2007 Convention;
- by a vote of the membership on January 30, 2008;
- at the September 15, 2008 Convention;
- at the September 11, 2010 Convention;
- at the September 11, 2011 Convention;
- at the September 8, 2012 Convention;
- at the September 7, 2013 Convention;
- at the September 6, 2014 Convention;
- at the September 16, 2016 Convention;
- by a vote of the membership on May 8, 2018;
- at the September 22, 2018 Convention; and
- by a vote of the membership on September 2, 2021 and approved by SEIU on September 20, 2021.

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CONSTITUTION AND BYLAWS OF SEIU 775

Article 1 – Name, Charter, Jurisdiction, Mission, Vision and Goals

1.1 Name. This Union shall be known as SEIU 775 (“the Union,”), unless a change in name is directed by the International Union.

1.2 Charter and Jurisdiction. In order to form a democratic organization in which to unite workers and build a stronger and more united voice to meet the challenges that affect us, our patients, residents, clients, consumers, communities, and our profession, a Union has been established by order of the International Executive Board and chartered in accordance with Article XIV of the Constitution of the Service Employees International Union, on December 13, 2002. This Union shall have jurisdiction to organize workers in any jurisdiction as granted and approved by the International Union in accordance with the International Constitution and Bylaws.

1.3 Mission. Our mission is to unite the strength of all working people and their families, to improve their lives and lead the way to a more just and humane world.

1.4 Vision. We are motivated by our vision of a future:

- Where caregivers and all workers live free from poverty.
- Where healthcare is a right, not a privilege. Where those who depend on long term care services are valued as human beings and assured of quality affordable care.
- Where all workers and their families live and work in dignity, are respected and have the opportunity to develop their talents and skills.
- Where the strength of our members leads the way in uniting all working people and making the American Dream a reality for everyone.

1.5 Goals. Our goals are to:

- Lift caregivers out of poverty.
- Build worker organizations that are powerful, sustainable, and scalable.
- Transform health and long-term care to ensure quality and access for all.
- Increase prosperity and reduce inequality for working people.

1.6 Strategies to Achieve Our Goals. We will achieve these goals with the following strategies -

1. Build worker leadership and activism.

2. Help workers form unions and other powerful organizations.
3. Hold politicians accountable.
4. Bargain strong contracts and provide quality services and benefits.
5. Advance pro-worker policy through influencing government, industry, and public opinion.
6. Build strategic partnerships.
7. Govern the Union democratically and use our resources responsibly.
8. Adapt. Innovate. Create.

Article 2 – Membership

2.1 Regular Membership. A regular member is any individual employed in a bargaining unit for which the Union is the recognized bargaining agent for matters relating to wages, hours and other term and conditions of employment, any health care worker covered by a service agreement between SEIU 775 and another SEIU Union, or any union officer or employee of SEIU 775 who is not represented for the purposes of collective bargaining by another Union.

By action of the Executive Board of SEIU 775, the following individuals may be admitted to regular membership: persons employed by the Union's benefit funds and other Union-sponsored organizations, any worker who is actively engaged in an organizing campaign seeking recognition for SEIU 775 as the exclusive bargaining representative, officers or employees of SEIU International, and former officers of SEIU 775.

2.2 Associate Membership. Associate Membership is open to other persons who support the mission, vision and values of SEIU 775. Associate members shall enjoy all rights and bear all responsibilities outlined in this Constitution and Bylaws, except that they may not run for or hold elected union office, vote in union elections or vote on referenda of any kind, or file charges before a trial body, and may be suspended or expelled from membership by vote of the Executive Board without appeal. Associate members may attend and, when recognized by the Chair, participate in Union meetings as observers. The Executive Board may deny associate membership requests.

2.3 Other categories of membership. The Executive Board may designate other categories of membership so long as they are in accordance with the International Constitution.

2.4 Membership in Good Standing. In order to exercise the rights and privileges of union membership, members of the Union shall maintain their membership in good standing by remittance payment of full monthly dues, assessments and/or any other payments owed (either directly, through the employer, or through an agent of the employer, of the member, or of the Union) prior to the last business day of each month following the month for which the dues are being paid (e.g., prior to the last business day of July for June dues). If the employer or agent cannot calculate and/or transmit the amount of dues owed by the end of the month following the month for which the dues are being paid, the member will not lose good standing if the dues are remitted

prior to the last business day of the first month in which they can be calculated and/or transmitted (e.g., if the amount of dues owed for June cannot be calculated in July, but can be calculated in August, the member will not lose good standing if the June dues are remitted prior to the last business day in August).

Members who are temporarily out of work due to lay-off by their employer may retain their membership in good standing by remittance payment of at least the minimum dues set by the International Union Constitution and Bylaws by the last business day of each month. Members who are out of work for longer than six full months shall no longer be eligible for Regular Membership under Article 2.1 of this Constitution and Bylaws, but, beginning the seventh calendar month from their lay-off, shall remain eligible for Associate Membership under the terms and conditions of Article 2.2, above, provided that they continue to pay the monthly dues required by Article 3.3 of this Constitution and Bylaws.

All members of the Union are under a positive duty to see that their dues, assessments and/or any other payments owed are remitted on or before the last day of the month in which the same are due at the main or designated office of the Union. A member's signed authorization allowing an employer or an agent to calculate and remit dues, constitutes compliance with this requirement.

The failure of a steward, representative, or any officer of the Union to appear or to collect the dues, assessments and/or any other payments owed shall not in any manner excuse the member from his or her obligations to pay his or her obligation on or before the due date at the main or designated office of the Union.

A member who is not in good standing at the time the Union determines eligibility to vote or be elected to office in a union election shall not be unreasonably denied the right to vote if, through no fault of the worker, he or she has lost good standing because his or her employer or the agent designated by the Union or the member to do so has failed to deduct and transmit dues to the Union.

2.5 Suspension from and Readmission to membership. Any member failing to pay dues, assessments and/or any other payments owed to the Union on or before the last business day of the month in which the same are due, shall stand automatically suspended from membership in this Union, and from all rights and privileges of such membership.

Any suspended member may be readmitted to membership upon payment of back and current obligations, but in no event shall such readmission restore any privileges or benefits.

Any member who fails to pay dues, assessments and/or any other payments owed because he or she is not working and is suspended for such non-payment shall be readmitted without payment, but in no event shall such readmission restore any privileges or benefits.

A suspended member who is readmitted to membership shall, from the date of such readmission be considered the same as a new member.

2.6 Nondiscrimination. There shall be no discrimination against any member, or any applicant for membership by reason of race, creed, color, religion, sex, gender expression, sexual orientation, national origin, citizenship status, marital status, ancestry, age, or disability.

2.7 Membership duties and obligations. Every member, by virtue of his or her membership in this Union is obligated to adhere to and follow the terms of the International Constitution, this Constitution, and the working rules promulgated in accordance with this Constitution, with respect to his or her rights, duties, privileges and immunities conferred by them and by statute. Each member shall faithfully carry out such duties and obligations and shall not interfere with the rights of fellow members.

2.8 Authorization to act as exclusive bargaining representative. Every member, by virtue of his or her membership in this Union, authorizes this Union to act as his or her exclusive bargaining representative with full and exclusive power to execute agreements with his or her employer governing terms and conditions of employment, to determine the method for ratification or rejection of collective bargaining agreements, to determine the method for authorization of a strike or job action and to act for him or her and have final authority in presenting, processing, and adjusting any grievance, difficulty, or dispute arising under any collective bargaining agreement or out of his or her employment with such employer, in such manner as this Union or its officers deem to be in the best interests of this Union. This Union and its officers, representatives, and agents may decline to process any such grievance, complaint, difficulty, or dispute, if in their discretion and judgment such grievance, complaint, or dispute lacks merit.

2.9 Authorization to select and direct agent for collection of dues. Every member whose employment is not governed by the National Labor Relations Act, by virtue of his or her membership in this Union, authorizes the Union to enter an agreement with an entity to act as the agent of the member for purposes of making voluntary dues deductions in the event that the employer ceases making dues deductions and to pay the entity for its role as the members' agent. Every such member authorizes the entity designated by the Union to serve as his or her agent for purposes of deducting and remitting membership dues. Every such member further authorizes the entity designated by the Union to serve as his or her agent for purposes of deducting and remitting SEIU COPE and other voluntary deductions to SEIU 775 pursuant to the authorizations contained in the member's membership card.

The Union will notify the entity of members' decisions to designate it as the agent of the member for purposes of dues deductions. At all times, each member retains the right to terminate his or her agency relationship with the entity designated by the Union by providing the Union with thirty (30) days' advance written notice of his or her desire to terminate the agency relationship. If the member terminates the agency relationship, the Union will notify the entity of the member's decision to terminate. For the period the entity designated by the Union serves as his or her agent, the member will work directly through SEIU 775 to direct the agent and authorizes the agent to work directly through SEIU 775 to facilitate any and all aspects of the agent's relationship with the member, which shall include but not be limited to having SEIU 775 represent the member and his or her interests during any dispute resolution concerning any claim that may arise between the member and the agent, including full settlement of any such claim. The agent designated by the Union shall not serve

as the agent of members for any purpose other than deducting membership dues and other voluntary deductions, and remitting those dues and deductions to the Union.

In the event that the Union designates an entity to act as the agent for purposes of deducting dues, every member whose employment is not governed by the National Labor Relations Act, by virtue of his or her membership in this Union, acknowledges that the entity designated may also serve as the employer's agent for purposes of performing payroll, tax withholdings, and other functions, but does not serve as the agent of the employer for purposes of making or sending membership dues deductions to the Union.

2.10 Dual Unionism. No member shall engage in dual unionism or espouse dual unionism or disaffiliation, or shall slander or libel this Union, its members, or its officers, and shall not be a party to any activity to discourage membership in or the payment of dues to the Union or secure the disestablishment of this Union as the collective bargaining agent for any employee.

2.11 Bill of Union Member Rights and Responsibilities in the Union.

- The right to have opinions heard and respected, to be informed of Union activity, to be educated in union values and union skills.
- The right to choose the leaders of the Union in a fair and democratic manner.
- The right to a full accounting of Union dues and the proper stewardship over Union resources.
- The right to participate in the Union's bargaining efforts and to reject or to approve collective bargaining agreements.
- The right to have members' concerns resolved in a fair and expeditious manner.
- The responsibility to help build a strong and more effective labor movement, to support the organizing of unorganized workers, to help build a political voice for working people, and to stand up for one's co-workers and all workers.
- The responsibility to be informed about the internal governance of the Union and to participate in the conduct of the Union's affairs.
- The responsibility to contribute to the support of the Union.
- The responsibility to treat all workers and members fairly.
- The responsibility to offer constructive criticism of the Union.

2.12 Fines, Penalties, and Expulsion. No regular member of this Union shall be fined, penalized, or permanently expelled from membership except as a result of charges and penalties determined pursuant to Article 12 of this Constitution and Bylaws.

Article 3 – Dues and Revenues

3.1 Revenues. The revenues of this Union shall be derived from monthly dues, fees, fines and assessments, agency shop or service or fair share fees, associate member dues, and such other sources as may be approved by the Executive Board.

3.2 Dues Increases. Any increase in the rate of dues or the levying of any general or special assessment, which have not been mandated by a Convention of the International Union or by the Constitution and Bylaws of the International Union, shall be enacted by a vote of the membership according to applicable laws and according to any requirements of the International Union.

3.3 Dues Rates. * Except as specified herein, the monthly dues rate shall be 3.0% of the member's gross pay. The minimum dues rate for regular members who work forty (40) hours or more in any given month, associate members, and members who are out of work due to lay-off shall be \$24, or the minimum set by the International Union Constitution and Bylaws, whichever is greater. Minimum dues shall increase if mandated by the International Union Constitution and Bylaws.

3.4 Dues Rates – Exceptions. The following shall be exceptions to the dues rates specified in 3.3, above:

1. Members covered by a servicing agreement between the Union and another union and who pay dues to that union shall have satisfied their dues obligation to this Union.
2. For members of bargaining units transferring representation from another union to SEIU 775 after January 1, 2006, dues shall be the rate then current for the union from which the bargaining unit transferred at the time the transfer took place. The full SEIU 775 dues rate shall not go into effect for each transferring bargaining unit until members of that bargaining unit have voted the current SEIU 775 dues rate in accordance with this Constitution and Bylaws and applicable provisions of law and the International Union Constitution and Bylaws.
3. For good cause, the Executive Board is authorized and empowered to establish lower dues rates, assessments and/or other payments for employees in a bargaining unit until such a time as it deems advisable.

3.5 Per Capita Tax. This Union shall pay per capita tax to the International Union for any person from whom the Union receives revenue, whether called dues or otherwise. This Union shall likewise pay any other obligations due to the International Union, and it shall have no right to pay any bills before it pays its full obligations to the International Union each month, unless a waiver of such obligations is obtained from the International Union. This Union shall affiliate with such SEIU State Councils, and other SEIU intermediate bodies as the International Union may direct.

3.6 Financial Records. All records of this Union pertaining to income, disbursements and financial transactions of any kind whatsoever must be kept for a period of at least six (6) years, or longer if required by applicable law.

*[2018 Editor's Note] Per Section 3.2 of the SEIU 775 Constitution and Bylaws, by a 2012 vote of the membership, the standard monthly dues rate for Washington Home and Community Based Care Workers was set at 3.2%. The Constitutional Dues Rate remains at 3% for all others unless reduced by the SEIU 775 Executive Board for good cause under Section 3.4.3. Per Article XV, section 6(a), of the SEIU Constitution and Bylaws, effective January 1, 2018, the minimum monthly dues rate is \$33.00 and, until 2020, will increase annually each year by one dollar.

3.7 Trading upon name of union prohibited without permission of International Union. Neither this Union nor any subdivision thereof, nor members or groups of members, including councils, conferences, leagues, clubs or any association composed of members of this Union, or subdivision thereof, shall in any manner, directly or indirectly, use, exploit or trade upon the name of the International Union, or affiliated body, or this Union, or any similar name or designation, nor in the name of the International Union, or affiliated body, nor in the name of this Union, levy or collect any taxes, dues, or other moneys, nor in the name of the International Union, or affiliated body, nor in the name of this Union, conduct any affair or any other activity, for the purpose of raising funds, including programs or soliciting advertising in any publication, either directly or indirectly, without first obtaining written permission from the President of the International Union.

All of the aforesaid matters covered by this section, including without limitation, funds, solicitations, gifts and donations, collected in the name of the International Union, shall at all times be subject to audit by the International Union, and all books, records, and documents pertaining to matters covered by this section shall be available for inspection, copying and audit by the International Union.

Article 4 – Union Officers

4.1 Officers. The officers of the Union shall consist of one (1) President, one (1) Secretary-Treasurer, three (3) Vice Presidents, and thirty-four (34) Executive Board Members At-Large. The President, Secretary-Treasurer, Vice Presidents, and Executive Board Members At-Large shall constitute the Executive Board, which shall have thirty-nine (39) members.

4.2 Terms of Office. For officers elected by regular election under the provisions of Article 6 of this Constitution and Bylaws, their term of office shall begin thirty (30) calendar days from the date of their election and they shall hold office, effective for the term of office beginning in October 2015, for three (3) years or until their successors are duly elected and sworn in. For officers appointed by the President and confirmed by the Executive Board to fill mid-term vacancies, their term of office shall begin immediately and they shall hold office for the remainder of the term of office for which they were appointed and confirmed as successor, or until their successors are duly elected and sworn in. No person shall hold the same single office of President, Secretary-Treasurer, or Vice President for more than fifteen (15) years, beginning with his or her first complete term of office. Effective for the term of office beginning in October 2015, no person shall hold the office of Executive Board Member At-Large for more than fifteen (15) years.

4.3 Eligibility to Serve. Only regular members in good standing are eligible to be nominated for office, elected to office, or hold office in this Union. If at any time during the term of office, an officer ceases to be a regular member in good standing, the office they hold shall be declared vacant.

4.4 Successorship. In the event that the office of the President becomes vacant during the President's term of office, the Secretary-Treasurer shall automatically succeed to and assume the office of President. The Secretary-Treasurer shall serve in this capacity for a period of not longer than thirty (30) days during which time the Executive Board shall be convened for the purpose of filling the vacancy for the unexpired term by majority vote. The new President shall assume office immediately and shall hold office for the remainder of the original term of office. In the event of a vacancy in the office of the Secretary-Treasurer, it shall be the duty of the President, in addition to his or her other

duties, to assume the duties of the Secretary-Treasurer. The President shall serve in this capacity for a period of not longer than sixty (60) days during which time the Executive Board shall be convened for the purpose of filling the vacancy for the unexpired term by majority vote. In the event that the position of any other officer becomes vacant during the term of office, the President shall appoint a replacement for the remainder of the term of office, subject to confirmation by the Executive Board.

4.5 President. The President is the Chief Executive Officer of this Union, and is, for that reason, invested with broad powers to conduct all of the affairs of the Union. The President shall have the following duties, powers, rights, privileges, and limitations thereupon:

1. To serve as the chief executive officer of this organization and to supervise, conduct and control all of the business and affairs of this organization and its officers and employees, departments, functions and programs, and to delegate duties as needed.
2. To serve as a voting member of the Executive Board, and to discharge each of the duties and responsibilities of that body. Failure to attend a regular meeting of the Executive Board without notifying the Secretary-Treasurer as to the reason(s) before the meeting and obtaining approval for the absence by vote of the Executive Board constitutes an unexcused absence. Resignation is considered automatically tendered at the third unexcused absence during the term of office.
3. To serve as the representative of SEIU 775 in any and all dealings and business affairs, including but not limited to collective bargaining negotiations, and dealings with employers, other unions, the federal, state and governments, vendors, contractors, consultants, employees, public and private agencies and all others.
4. To have sole authority to employ, hire, direct, supervise, discipline and discharge such staff, counsel, accountants, consultants, vendors and contractors as he or she deems necessary or advisable to be employed by the Union for the purposes of carrying out the vision, mission, strategies and programs of the Union and to fix their compensation.
5. To assign additional duties to the Secretary-Treasurer, Vice Presidents, and Executive Board Members At-Large as he or she may deem necessary.
6. To negotiate, enter into, and sign all agreements, including collective bargaining agreements.
7. To decide, determine and take charge of all labor, industrial relations and employment relations matters relating to collective bargaining agreements, labor and employment law, and the enforcement thereof, including but not limited to the administration of grievances, mediations, arbitrations, and litigation.
8. To decide, determine, and take charge of all legislative, public policy and political positions and actions of the Union, without limitation, and to establish, maintain, direct, and administer all political funds, political action committees, and other political or legislative accounts.
9. To decide, determine, authorize and make all expenditures and disbursements, and to sign all checks on behalf of the Union; to authorize and direct the administration of all revenue, deposits and income of this Union; to propose an annual budget plan to the Executive Board for adoption, rejection, amendment or modification; to administer the annual budget adopted by the Executive Board and any funds or accounts created thereby; to obtain loans, make loans, and enter into loan agreements consistent with the annual budget adopted by the Executive Board.

10. To call meetings of the members of the Union, including the annual Convention, Executive Board, other committees, chapters, caucuses, or divisions, and to preside over all such meetings, and to vote on all questions.
11. To enlist members in the work of building the Union, including appointing members to and removing members from committees, chapters, caucuses, or divisions created by the Executive Board.
12. To determine the method for appointing and removing Advocates.
13. To serve by virtue of the office as the first delegate to all conventions and meetings to which the Union is entitled to delegate representation.
14. To determine participation in insurance and other benefit plans, and to appoint and remove all trustees to any training, welfare, pension or other funds negotiated by the Union.
15. To determine affiliation with other labor bodies external to SEIU and to appoint and remove delegates to which such affiliation may entitle the Union.
16. To interpret and enforce the International Union Constitution and Bylaws and this Constitution and Bylaws.
17. To determine voting procedures and membership eligible to vote to changes in dues rates, adopt bargaining demands, to authorize strikes, and to ratify or reject collective bargaining agreements.
18. To determine methods, timeline and voting procedures by which elections will be held for delegates to the SEIU convention additional to those delegates directly named or determined by this Constitution and Bylaws, and to determine methods, timeline and voting procedures for the election of delegates to other organizations, intermediary bodies, councils and conventions not otherwise determined by this Constitution and Bylaws or appointed by the President under this Constitution and Bylaws.
19. To fill vacancies in any other Union office by appointment should such offices fall vacant between regular elections of officers as provided in the Constitution and Bylaws, subject to confirmation or rejection by the Executive Board.
20. To formulate plans and programs for this Union.
21. To appoint an Ethics Liaison.
22. To appoint an Elections Chair and an Elections Committee.
23. To take all other action not inconsistent with this Constitution and Bylaws that he or she deems reasonable, necessary, appropriate, or convenient in order to achieve the goals and objectives of this Union. This includes the establishment or revocation of rules, regulations, policies, and procedures, subject to approval, modification or rejection by the Executive Department.
24. The President shall be a full-time officer and shall be paid a salary and receive employment benefits set by the Executive Board at least annually.
25. The President shall be reimbursed for out-of-pocket expenses incurred on behalf of the Union, according to policies set by the Executive Board.

4.6 Secretary-Treasurer. The Secretary-Treasurer shall have the following duties, powers, rights, privileges, and limitations thereupon:

1. To serve as the second principal officer of the Union, with responsibilities for maintaining the books and records of the Union.
2. To perform such other duties as assigned by the President.

3. To serve as a voting member of the Executive Board, and to discharge each of the duties and responsibilities of that body. Failure to attend a regular meeting of the Executive Board without notifying the President as to the reason(s) before the meeting and obtaining approval for the absence by vote of the Executive Board constitutes an unexcused absence. Resignation is considered automatically tendered at the third unexcused absence during the term of office.
4. To notify the International Union of the names and addresses (with zip code) of all officers elected to office within fifteen (15) days after the election.
5. To send to the International Union an accurate record of all dues payments and other revenue when required.
6. To send to the Secretary-Treasurer of the International Union and to any state council with which the Union is affiliated the correct names and addresses of all members, and of all other persons from whom revenue is derived. The proper zip code shall be included for each address. When available, e-mail addresses, social security numbers, and telephone numbers shall be included.
7. To promptly forward to the International Secretary-Treasurer copies of all annual audit reports and copies of all financial reports setting forth a statement of assets and liabilities and a statement of receipts and disbursements which are required by law. And to forward to the International Secretary-Treasurer, by April 1 of each year, information and supporting documentation showing the average gross wage rate of its membership for the previous calendar year.
8. To be authorized to counter-sign checks and other binding legal instruments on behalf of the Union.
9. To preside at meetings and otherwise perform the duties of the President in the President's absence or incapacity.
10. To serve by virtue of office as the second delegate to SEIU conventions and meetings to which the Union is entitled to delegate representation.
11. The Secretary-Treasurer shall not be disqualified from also serving as an appointed Union employee, subject to the exercise of the President's sole and exclusive discretionary powers and authority outlined in Article 4.5.4 of this Constitution and Bylaws.
12. The Secretary-Treasurer shall be reimbursed for approved out-of-pocket expenses incurred on behalf of the Union, according to policies set by the Executive Board.

4.7 Vice Presidents. The Vice Presidents shall have the following duties, powers, rights, privileges, and limitations thereupon:

1. To serve as the third, fourth and fifth principal officers of the Union, with responsibilities to assist the President in the performance of his or her duties.
2. To perform such other duties as assigned by the President.
3. To serve as voting members of the Executive Board, and to discharge each of the duties and responsibilities of those bodies. Failure to attend a regular meeting of the Executive Board without notifying the President as to the reason(s) before the meeting and obtaining approval for the absence by vote of the Executive Board constitutes an unexcused absence. Resignation is considered automatically tendered at the third unexcused absence during the term of office.

4. To be authorized to counter-sign checks and other binding legal instruments on behalf of the Union.
5. To serve by virtue of office as the third, fourth and fifth delegates to SEIU conventions and meetings to which the Union is entitled to delegate representation.
6. The Vice Presidents shall not be disqualified from also serving as an appointed union employee, subject to the exercise of the President's sole and exclusive discretionary powers outlined in Article 4.5.4 of this Constitution and Bylaws.
7. The Vice Presidents shall be reimbursed for approved out-of-pocket expenses incurred on behalf of the Union, according to policies set by the Executive Board.

4.8 Executive Board Members At-Large. The Executive Board Members At-Large shall have the following duties, powers, rights, privileges, and limitations thereupon:

1. To perform such duties as assigned by the President.
2. To serve as voting members of the Executive Board, and to discharge each of the duties and responsibilities of that body. Failure to attend a regular meeting of the Executive Board without notifying the President as to the reason(s) before the meeting and obtaining approval for the absence by vote of the Executive Board constitutes an unexcused absence. Resignation from the Executive Board is considered automatically tendered at the third unexcused absence during the term of office.
3. In order to guarantee the rank-and-file voice of the Executive Board, and in order to avoid potential, actual or perceived conflicts of interest, Executive Board Members At-Large are prohibited from serving as regular full time or part time appointed Union employees during their term of office, except that any Executive Board member may work for the Union for no more than two-hundred and seventy days as a temporary or "lost-time" employee during his or her term of office, providing that the voting rights of the Member At-Large on the Executive Board are suspended during the period of his or her temporary or "lost-time" employment. The Executive Board may extend this period of time by a vote of two-thirds. If any Executive Board Member At-Large seeks or accepts employment as a full time or part time regular appointed Union employee during their term of office, he or she will be deemed to have resigned his or her position as Executive Board Member At-Large whether or not that Executive Board Member At-Large is hired by the Union.
4. Executive Board Members At-Large, by virtue of their office, shall serve as the sixth through thirty-ninth delegates to SEIU conventions and meetings to which the Union is entitled to delegate representation.
5. The Executive Board Members At-Large shall be reimbursed for approved out-of-pocket expenses incurred on behalf of the Union, according to policies set by the Executive Board.

Article 5 – Executive Board

5.1 Composition. The Executive Board shall be composed of thirty-nine (39) members, which shall include the President, the Secretary-Treasurer, the Vice Presidents, and thirty-four (34) Executive Board Members At-Large.

5.2 Meetings. The Executive Board shall hold regular meetings at least once every three months without other notice than this by-law at such regular times and places as shall be designated by the

President. The Executive Board shall hold other meetings at such time and place as shall be determined by the President. All necessary expenses for such meetings shall be paid by the Union. Minutes of Executive Board meetings shall be recorded and presented in writing at the next regular Executive Board meeting. The Executive Board may meet in executive session to discuss and decide questions or matters relating to budgetary matters, personnel action or policies, matters relating to real estate and other investments, matters relating to litigation or for other good cause as may be determined by a majority vote of the Executive Board. All meetings of the Executive Board shall be conducted in accordance with Robert's Rules of Order, subject to modifications by the Executive Board.

5.3 Action by other means. At the call of the President, the Executive Board may act by letter, telephone, facsimile, electronic mail, videoconference, or other appropriate means of communication. Such action so taken on vote of the majority of the Executive Board shall constitute official action of the Executive Board. A record shall be kept of any such action taken, which shall be presented in writing at the next regular Executive Board meeting.

5.4 Quorum and Agenda. A majority of the seated members of the Executive Board shall constitute a quorum for the transaction of its business. The President shall cause an agenda to be prepared for each meeting of the Executive Board. The Executive Board may add to, subtract from, or restructure that agenda by a majority vote.

5.5 Authority. The Executive Board shall have each of the following duties, powers, rights, privileges, and limitations thereupon:

1. To adopt an annual budget and to create such funds and accounts as may be necessary for the administration and operation of such budgets, subject to the reasonable discretionary administration and adjustments that the President may make in order to carry out the intent of the Executive Board in adopting and creating such budgets, accounts and funds.
2. To invest and reinvest the funds of the Union in such property, real or personal, tangible or intangible, as it shall consider prudent, necessary, and desirable in the interest of the Union and its members; to lease, purchase or otherwise acquire in lawful manner any real estate, or the rights and privileges thereto; to sell, lease, rent, or dispose of real or personal property, rights or privileges belonging to the Union; to create and issue deeds, mortgages, trust agreements, contracts & negotiable instruments secured by mortgage or other instrument. These provisions shall not be interpreted so as to limit the rights and privileges of the President or of his or her designees to purchase, lease, mortgage, sell or rent or to otherwise acquire or dispose of miscellaneous property or items necessary, in the President's sole and exclusive judgment, to carry out the day-to-day activities of the Union, such as office equipment and machinery, supplies, computers, phone equipment, and other miscellaneous property necessary for the day-to-day functioning of the Union.
3. To create health, welfare, benefit, pension, and other trusts, the primary purpose of which is to provide benefits for the members or their beneficiaries, and to terminate and effectuate the same.
4. To commission an audit and examination of the books and financial records of the Union by an independent Certified Public Accountant at least annually, which shall take inventory of and verify the securities, investments, bank accounts, real and intangible property, and cash

funds then on hand; to see that the funds of this Union are deposited in one or more reliable banks; to recommend such measures as will simplify the duties of the Secretary-Treasurer; and to take other actions not inconsistent with this Constitution and Bylaws, the International Union Constitution and Bylaws, or the law as are necessary to safeguard the funds, property and assets of this Union.

5. To review and approve as to form, legality, and constitutionality all referenda, Constitutional Amendments, and other matters to be voted on by the general membership; to decide and publish at its discretion endorsement of or opposition to such matters; and to express and issue opinions regarding such matters.
6. To propose amendments to this Constitution and Bylaws and to determine whether such proposed amendments shall be voted upon at a Convention of the Union or by mail ballot election.
7. To establish standing committees, ad-hoc committees, chapters, caucuses, divisions and other subdivisions of this Union.
8. To vote to confirm or reject the President's appointments to fill vacancies among the officers.
9. To receive and act upon reports of the officers.
10. To approve or reject strike authorization.
11. To serve as the trial body specified under Article 12 of this Constitution and Bylaws and under Article XVII of the International Union Constitution and Bylaws (or any successor article).
12. To initiate, defend, compromise, settle, arbitrate, release or pay the expenses and costs of any legal proceedings or actions of any nature in its judgment necessary or desirable to protect, preserve, defend or advance the interests of the Union and/or its members. This provision shall not be interpreted so as to limit the rights and responsibilities of the President with regard to the negotiation or enforcement of collective bargaining agreements.
13. To set the compensation of the President on at least an annual basis.
14. To take all other action not inconsistent with this Constitution and Bylaws that it deems reasonable, necessary, appropriate, or convenient in order to achieve the goals and objectives of this Union, including the establishment or revocation of rules, regulations, policies, and procedures, and to approve, modify or reject rules, regulations, policies and procedures enacted by the President.
15. To delegate any of its above powers and duties to the President or his or her designee if and when it deems such delegation reasonable, necessary, appropriate, or convenient in order to achieve the goals and objectives of this union.

Article 6 - Union Officer Elections

6.1 Time of Elections. Elections shall be held every three years on a date set by the President during the first week of September. No later than January 15 of each election year, the President shall determine the specific date of the election for that year.

6.2 Elections Committee. The President shall, exercising his or her sole and complete discretion not subject to ratification or confirmation by the Executive Board, appoint an Elections Chair, who shall be a member-in-good-standing and who is not, nor shall be eligible in the term of office following

his or her appointment by the President, a candidate for elected office. Except in the event of resignation or incapacity, the Elections Chair shall not be removed or replaced less than ninety (90) days prior to any election for Union Office. No later than ninety (90) days prior to any election for Union Office, the President shall, exercising his or her sole and complete discretion not subject to ratification or confirmation by the Executive Board, appoint an Elections Committee, which shall consist of members-in-good-standing who are not, nor shall be eligible in the term of office following their appointment by the President, candidates for elected office. The Elections Committee shall take charge of all matters concerning the conduct of the election, and shall enjoy reasonable discretionary authority therein including nominations, determination of eligibility, and all other matters addressed in Article 6 of this Constitution and Bylaws, subject to the requirements of the International Union's Constitution and Bylaws and applicable laws. The Election Committee shall meet as necessary to conduct its business and shall have final say and determination over all matters concerning the conduct of nominations and the election, subject to such appeals as are outlined in this Constitution and Bylaws.

6.3 Notice of nominations process. The Elections Committee shall send to all members in good standing a notice of upcoming elections and nominations process no later than eighty (80) days before the Election, including the number of signatures for nomination under the provisions of Article 6.5.

6.4 Petitions. The Elections Committee shall publish a standard petition for use by all candidates for office and shall make it available to candidates no later than seventy-five (75) days before the Election. Each petition shall contain space for nominating candidates to each of the thirty-seven offices in the Union. A list of candidates or prospective candidates who have requested nominating petitions shall be made available to members in good standing by the Election Committee upon request.

6.5 Nominations. Nominations shall be by a standard written nominating petition published by the Elections Committee that designates the name of the nominee and the office and carries the signature of the nominee indicating his or her willingness to be nominated. Nominating petitions must be submitted to the Elections Committee no later than forty-five (45) days before the Election. Only the signatures of members who are in good standing at the time the Elections Committee verifies signatures shall be considered valid. Signatures need not be secured personally by the nominee. Members may be nominated for only one office and any member who seeks nomination to more than one office shall be deemed ineligible to appear on the ballot for any office. The number of valid signatures required to nominate a candidate for office shall be twenty-five (25). The Elections Committee shall establish procedures for verifying signatures and shall complete the verification of signatures no later than forty-three (43) days before the Election. The Elections Committee shall inform each candidate in writing regarding whether or not he or she has qualified to appear on the ballot. Write-in candidacies are not permitted.

6.6 Eligibility. Only regular members in good standing are eligible to be nominated for, elected to, or hold office in this union. No person who has been convicted of a felony as defined in Section 504 of the Landrum-Griffin Act shall be eligible to hold office in this Union. No member may be a candidate for more than one office at a time. No person shall be eligible to be nominated for or

hold office who has not been a member in good standing continuously for six (6) months, unless waived by the International President for good cause shown.

6.7 Conduct of the Election. Ballots shall be mailed out to all members in good standing no later than three (3) weeks before the election. In the event only one (1) candidate is nominated for any office, only that candidate's name shall appear on the ballot for that office. Ballots must be received at the Post Office box designated by the Elections Committee by the close of the Post Office on Election Day. The Elections Committee may prescribe the order of candidates on the ballot, consistent with legal requirements, including but not limited to, allowing the identification of candidates with a slate.

For the offices of President and Secretary-Treasurer, the candidates receiving the highest number of votes shall be declared elected. For the office of Vice President, the three candidates receiving the highest number of votes shall be declared elected. For the offices of Executive Board Members At-Large, the thirty-four (34) candidates receiving the highest number of votes shall be declared elected.

The Elections Committee shall set forth a set of detailed balloting procedures no later than thirty (30) days before the Election.

6.8 Non-discrimination, fairness, ethics, and campaign finances. The Union shall not discriminate against any candidate. Any information made available to one candidate will be made available to other candidates upon request.

No later than forty-five (45) days before the Election, the Elections Committee shall adopt a code of ethics and conduct for candidates and the conduct of the Election that shall be consistent with the code of ethics and conduct, this Constitution and Bylaws, the International Union's Constitution and Bylaws, and applicable laws. During the course of the Election, the Elections Committee may affirmatively remedy violations of the code of ethics and conduct, the SEIU 775 and SEIU Constitution and Bylaws, and applicable laws in order to ensure a fair election.

No candidates (including a prospective candidate) for any office or in this Union or affiliated body or supporters of a candidate may solicit or accept financial support of any kind from any non-member of the International Union.

Candidates or prospective candidates for office in this Union must report any and all contributions, financial support, and in-kind donations they receive to the Elections Chair within seven (7) days of having received such contribution, other financial support, or donations. This includes the expenditure of aggregate personal funds by the candidate for his or her own campaign in excess of one hundred (100) dollars. Candidates must report the amount received (or the fair market value of an in-kind donation); the name, complete address and SEIU Union membership affiliation of each donor; and the date the contribution, other financial support or donation was received. These campaign finance reports shall be retained by the Election Chair for one (1) year following the election, and shall be available for inspection by any member upon reasonable request. The Elections Committee may require candidates to produce documents and other evidence regarding

direct and indirect contributions to their campaigns. The Elections Committee may also establish individual contribution limits for each candidate of no less than five hundred (500) dollars.

6.9 Appeals and Complaints of Elections and Elections Procedures. Members in good standing wishing to protest any aspect of the conduct of the election shall file a signed, written statement with the Elections Committee describing the alleged irregularity within fifteen (15) days of the end of the Election. The Elections Committee shall consider such protest and issue a written decision within seven (7) days of receiving the protest. The decision shall be mailed, certified, return receipt requested, to the member having filed the protest on the same day that it is issued. Any member aggrieved by a decision of the Elections Committee may appeal that decision to SEIU 775's Executive Board within 5 days of the decision. Any member aggrieved by the Executive Board's decision on her or his election protest may appeal to the International President within 15 days of the Executive Board's decision, in accordance with Article VIII, Section 2 of the International Union Constitutional and Bylaws.

Article 7 – Local and International Convention and Membership Meetings

7.1 SEIU 775 Constitutional Convention and Leadership Conference. The Union shall hold a Constitutional Convention for the purpose of transacting legal, constitutional and other business of SEIU 775 at least every two years on a time and date and at a place determined by the President. All members of SEIU 775 in good standing shall be entitled to attend and vote at the Constitutional Convention. Notice of the Constitutional Convention shall be mailed to all members in good standing at their last known address no later than fifty (50) days prior to the Constitutional Convention. The proceedings of the Constitutional Convention shall be conducted in accordance with Robert's Rules of Order, subject to modifications by the Executive Board.

During calendar years when no Constitutional Convention is held, the Union shall hold a Leadership Conference for the purpose of leadership development, training, coordination and planning. Leadership conferences may address any subject matter not requiring a vote of the full membership.

7.2 Delegates to the SEIU Convention. The Executive Board shall determine the number of delegates and alternates who shall represent the Union at the SEIU convention. Executive Board members shall be deemed, by virtue of their election, elected as delegates to the SEIU, and any other conventions, conferences, councils and bodies to which this Union is entitled to send delegates. If it shall appear that the number of elected union officers is less than the number of delegates which the Union has decided to send to the convention, then arrangements shall be made for nomination and secret ballot election, if required, of an additional number of eligible members as convention delegates. Nominees for such positions, if unopposed, shall be deemed elected without necessity for further procedures. If the total number of elected officers is greater than the number that the Local Union is permitted to send to the convention, the President shall be the first delegate, the Secretary-Treasurer shall be the second delegate, and the Vice Presidents shall be the third, fourth and fifth delegates. The remaining SEIU Delegates shall be chosen from among the Executive Board in order of each Board Member's cumulative length of service on the Executive Board. Where the length of service between one or more Board Members is equal, the Delegate(s) shall be chosen by lot from among those sharing the same level of seniority.

7.3 Membership meetings. There shall be regular membership meetings by chapter, worksite, or geography as directed by the President.

Article 8 – Collective Bargaining and Representation

8.1 Determination of Bargaining Demands. The President shall determine the method for approving bargaining demands. Voting procedures shall be determined by the President or an officer or representative designated by the President.

8.2 Authorizing Strikes. Strike authorization shall be determined by a majority vote of those participating, at a meeting or meetings of the members of the directly impacted bargaining unit(s), or alternatively by mail ballot, and shall thereafter be approved by a vote of the Executive Board. Voting procedures shall be determined by the President or an officer or representative designated by the President. The International President shall be notified prior to the beginning of any strike, or, when prior notice is not practicable, as soon as possible after the commencement of the strike.

8.3 Ratifying Contracts. Contracts shall be ratified by a majority vote of those participating, at a meeting or meetings of the members of the directly impacted bargaining unit(s), or alternatively by mail ballot. Voting procedures shall be determined by the President or an officer or representative designated by the President. A record shall be kept of the ratification vote, which shall be presented in writing at the next regular Executive Board meeting along with the ratified contract.

8.4 Advocates. The President shall determine the method for appointing and removing advocates. Advocates who are removed may appeal their removal under the provisions of Article 12.

Article 9 – Dissolution

This Union cannot dissolve, secede or disaffiliate while there are seven (7) dissenting members. In the event of secession, dissolution or disaffiliation, all properties, funds and assets, both real and personal, of this Union shall become the property of the International Union. The International Union shall be notified by registered or certified mail of any meeting scheduled by this Union for the purpose of taking a vote on dissolution, secession, or disaffiliation from the International Union at least sixty (60) days prior to the date of such scheduled meeting, and a representative of the International Union shall be afforded an opportunity to speak at such meeting. The International President shall direct whether the membership vote shall be conducted by secret ballot at a membership meeting and/or by mail referendum, and, if appropriate, a separate method by which dissenting Local Unions or members may assert their dissent. The vote shall be counted by an independent neutral party. Under no circumstances shall this Union distribute its funds, assets, or properties individually among its membership.

Article 10 - Property Rights

The title to all property, funds, and other assets of this Union shall at all times be vested in the Executive Board for the joint use of the membership of this Union, but no member shall have any severable proprietary right, title, or interest therein.

Membership in this organization shall not vest any member with any right, title, or interest in or to the property of this Union, including the funds of this Union.

Article 11 – International Constitution and Bylaws

The Constitution and Bylaws of this Union shall at all times be subordinate to the International Constitution and Bylaws, as it may be amended. If any conflict should arise between the Constitution and Bylaws of this Union, or any amendments thereto, and the International Union Constitution and Bylaws, or any amendments thereto, then the provisions of the International Union Constitution and Bylaws shall control.

This Constitution and Bylaws for SEIU 775, and any amendments thereto, shall be forwarded to the SEIU International President for approval, and shall be filed with other bodies as required by federal, state or other applicable law. No amendments to this Constitution and Bylaws shall be in effect until approved by the SEIU International President.

Article 12 – Trials and Appeals

Trials and Appeals of this Union, its officers and its members shall be conducted according to Article XVII of the SEIU International Constitution and Bylaws, Trials and Appeals, (or any successor Article), with the specific limitation that any officer or member who is bringing a charge or accusation or any member accused or charged may select a member of this Union, but not an attorney under any circumstances, to represent him or her in the presentation of a defense.

Article 13 – Protection against personal, union suits

In the event a suit is brought against the Union or any of its officers or employees, funds of the Union may be expended to the extent permitted by law for all legal costs, including attorney's fees, court costs and investigative expenses, in the defense of such lawsuit. In the event any officer or employee of the Union is held personally liable, either by way of judgment, compromise or settlement arising out of a lawsuit against such officer or employee regarding the performance of duties on behalf of the Union, the funds of the Union may be expended to satisfy such judgment, compromise or settlement to the extent permitted by law.

Article 14 – Bonding

The Union shall secure and maintain surety bonds in the amounts and the form required by applicable statutes. The International Secretary-Treasurer may direct an increase in the amount of any bond whenever he or she deems it necessary.

Article 15 – Savings Clause

If any provision of this Constitution and Bylaws shall be modified or declared invalid or inoperative by any competent authority of the executive, judicial, or administrative branch of federal or state government, the Executive Board shall have the authority to suspend the operation of such

provision during the period of its invalidity or modification and to substitute in its place and stead a provision that will meet the objections to its validity and that will be in accord with the intent and purposes of the invalid or modified provisions. If any article or section of this Constitution and Bylaws should be modified or held invalid by operation of law or by any tribunal of competent jurisdiction, the remainder of this Constitution and Bylaws or the application of such article or section to persons or circumstances other than those as to which it has been held invalid or modified shall not be affected thereby.

Article 16 – Amendments

16.1 Methods to amend. Amendments to this Constitution and Bylaws may be made by majority vote at a Convention of the Union, or by mail ballot vote, as determined by the Executive Board.

16.2 Amendments at Convention. Any regular member in good standing may submit proposed amendments in writing to the Secretary-Treasurer no later than thirty (30) days prior to a scheduled Convention. The Secretary-Treasurer shall present these to the Executive Board at its next regularly scheduled meeting. If there is no regularly scheduled meeting prior to the Convention, a meeting shall be called for the purpose of considering proposed amendments. The Executive Board may submit such proposed amendments directly to the floor of the Convention or may refer them to a Committee for review and recommendations. The Executive Board may also author proposed amendments and submit them directly to the floor of the Convention or may refer them to a Committee for review and recommendations. The President shall determine voting procedures in accordance with this Constitution and Bylaws and applicable laws.

16.3 Amendments by mail ballot. Voting on amendments which, in the Executive Board's sole discretion, require urgent action prior to the next regularly scheduled Convention, may be conducted by a mail ballot election. The President shall determine voting procedures in accordance with this Constitution and Bylaws and applicable laws.

Article 17 Honorary Offices

17.1 President Emeritus. At the discretion of the Executive Board, any consenting person who has previously served as President of SEIU 775 may be designated a President Emeritus of SEIU 775, whose role, duties, and responsibilities shall be as follows:

1. The President Emeritus may identify him/herself as such in his/her official biography and for all similar purposes, so long as such identification is not intended to, and does not, convey endorsement by SEIU 775 of any position or policy other than as specifically requested or directed by the President.
2. The President Emeritus may, at the specific written request and direction of the President, speak on behalf of, in support of, and/or as a representative of SEIU 775, and may perform other tasks for SEIU 775 as specifically requested and directed by the President, including but not limited to serving as the official representative of SEIU 775 on private, governmental, and quasi-governmental commissions, task forces, and other entities, to the extent deemed appropriate by the President and consented to by the President

Emeritus.

3. At the sole discretion of the Executive Board, any person who has previously been designated President Emeritus will cease to have that title, and will thereby cease to have the rights and privileges pertaining thereto, if the Executive Board concludes that this person has engaged in material violations of the SEIU 775 Constitution and Bylaws, or otherwise engaged in conduct the Executive Board deems inconsistent with the position of President Emeritus.

APPENDIX A

Approved by the SEIU International Executive Board, June 13, 2009
Approved by the SEIU International Executive Board as revised, January 21, 2016

SEIU CODE OF ETHICS AND CONFLICT OF INTEREST POLICY

PART A: PREAMBLE

The Service Employees International Union (SEIU) believes in the dignity and worth of all workers. We have dedicated ourselves to improving the lives of workers and their families and to creating a more just and humane society. We are committed to pursuing justice for all, and in particular to bringing economic and social justice to those most exploited in our community. To achieve our mission, we must develop highly trained and motivated leaders at every level of the Union who reflect the membership in all of its diversity.

Union members place tremendous trust in their leaders. SEIU elected officers and managers owe not just fiduciary obligations to union members; given the moral purpose of our mission, SEIU leaders 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. This *Code of Ethics and Conflict of Interest Policy* (the "Code" or "SEIU Code") 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.

We recognize that no code of ethics can prevent some individuals from violating ethical standards of behavior. We also know that the SEIU Code is not sufficient in itself to sustain an ethical culture throughout the Union. To accomplish the goals for which this Code has been created, we must establish systems of accountability for all elected leaders and staff. These systems must include appropriate checks and balances and internal operating procedures that minimize the opportunity for misuse or abuse, as well as the perception of either, in spending union funds and exercising decision-making authority. The systems also must include adequate provision for training on understanding and implementing this Code. More broadly, we emphasize the importance of the range of standards, practices, and values described in "A Strong Ethical Culture," Section A of the *SEIU Policies on Ethics and Standards* that were enacted with the Code in 2009.

In particular, SEIU is committed to providing meaningful paths for member

involvement and participation in our Union. The SEIU Member Bill of Rights and Responsibilities in the Union is a significant source of SEIU members' rights and obligations. Its exclusive enforcement through the procedures set forth in Article XVII of the SEIU Constitution and Bylaws reflects a commitment to the democratic principles that have always governed SEIU. Article XVII's numerous protections against arbitrary or unlawful discipline of members also form an essential ingredient of the democratic life of the Union. Similarly, the requirement that Affiliates provide for regular meetings of the membership, set forth in Article XV, Section 5 of the Constitution, is another important element in the democratic functioning of SEIU. Finally, the provisions against discrimination and harassment on the basis of race, creed, color, religion, sex, gender expression, sexual orientation, national origin, citizenship status, marital status, ancestry, age and disability contained in Article III, Section 4 of the SEIU Constitution and in the Constitutions and Bylaws of Affiliates, the SEIU Anti-discrimination and Anti-Harassment Policy and Procedure, and similar policies of Affiliates forbid conduct in violation of SEIU's historic belief that our strength comes from our unity and diversity and that we must not be divided by forces of discrimination.

Individuals subject to this Code are expected to comply with State and Federal laws, the Constitution and Bylaws of SEIU and Affiliates, and the anti-discrimination and anti-harassment policies of SEIU and Affiliates as part and parcel of our commitment to sustaining an ethical culture and the highest standards of conduct throughout the Union. Violations of these laws and policies are ethical breaches; however, these violations should be addressed through avenues provided by the applicable laws and policies and not through the Code unless they also allege violations of this Code. In particular, the sole enforcement mechanism for matters covered by the SEIU or Affiliate Constitutions and Bylaws is that which is set forth in those documents, unless violations of this Code are also alleged. Finally, grievances that arise under collective bargaining agreements are excluded from enforcement under this Code unless they also allege violations of this Code.

The scope and standards of this Code are set forth in the following Sections.

SECTION 1. *Applicability to International Union.* The SEIU Code is henceforth applicable in its entirety to all officers, executive board members and employees of SEIU. These individuals are referred to herein as "covered individuals." SEIU shall append or attach the Code in its entirety to its Constitution and Bylaws in its next and all future publications.

SECTION 2. *Applicability to SEIU Affiliates.* By enactment of the SEIU International Executive Board, the SEIU Code is applicable in its entirety to all officers, executive board members and employees of all affiliated bodies and local unions chartered by SEIU ("Affiliates" herein). These individuals are referred to herein as "covered individuals."

(a) Each Affiliate shall ensure that the Code extends to all employees as soon as practicable but in no event later than the end of 2020.

(b) Each Affiliate shall append or attach the Code in its entirety to its Constitution and Bylaws at its next and all future publications.

(c) Wherever reference herein is made to SEIU or an SEIU program, department or position, the corresponding reference is to the particular Affiliate or its equivalent program, department or position.

(d) Each Affiliate is responsible for enforcing the Code and educating its covered individuals on the Code in a manner consistent with the Code's terms, subject to assistance and oversight from SEIU.

(e) The Code is not intended to restrain any Affiliate from adopting higher standards and best practices, subject to the approval of the SEIU Ethics Ombudsperson.

PART B: GENERAL OBLIGATIONS

SECTION 3. *Obligations of Covered Individuals.*

(a) *Commitment to the Code.* SEIU and each Affiliate shall provide a copy of the Code to each covered individual. It is the duty and obligation of covered individuals to acknowledge annually that they have received a copy of this Code, that they have reviewed and understand it, and that they agree to comply with it.

(b) *Duty of disclosure.* Covered individuals shall disclose to the SEIU Ethics Ombudsperson or the Affiliate Ethics Liaison, described in PART F of this Code, any conflict of interest or appearance of a conflict, which arises when their paramount duty to the interest of members is potentially compromised by a competing interest, including but not limited to an interest, relationship or transaction referenced in this Code. Actual, perceived and potential conflicts should be disclosed at the time that covered individuals become aware of them.

(c) *Disqualification from service to SEIU or Affiliate.* No person shall serve as an officer or managerial employee of SEIU or any Affiliate who has been convicted of any felony involving the infliction of grievous bodily injury, or the abuse or misuse of such person's position or employment in a labor organization to seek or obtain illegal gain at the expense of the members, except for the limited exceptions set forth in applicable federal law.

PART C: BUSINESS AND FINANCIAL ACTIVITIES

SECTION 4. *General Duty to Protect Members' Funds; Members' Right to Examine Records.*

- (a) The assets and funds of a labor organization 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. The Union shall conduct its proprietary functions, including all contracts for purchase or sale or for the provision of significant services, in a manner consistent with this Code. All officers, executive board members and employees of SEIU and SEIU Affiliates, whether elected or appointed, have a trust and high fiduciary duty to honestly and faithfully serve the best interests of the membership.
- (b) Consistent with Section 201 of the Labor-Management Reporting and Disclosure Act, SEIU shall permit a member for just cause to examine any books, records and accounts necessary to verify SEIU's annual financial report under that section to the U.S. Department of Labor.
- (c) Affiliates comprised solely of members employed by government bodies shall permit a member to examine its financial report submitted to a state agency and, consistent with state law and for just cause, to examine any books, records and accounts necessary to verify the Affiliate's financial report.

SECTION 5. *Prohibited Financial Interests and Transactions.* Covered individuals shall not, to the best of their knowledge, have a substantial ownership or financial interest that conflicts with their fiduciary duty.

- (a) For purposes of these rules, a "substantial ownership or financial interest" is one which either contributes significantly to the individual's financial well-being or which enables the individual to significantly affect or influence the course of the business entity's decision-making.
- (b) A "substantial ownership or financial interest" does not include stock in a purchase plan, profit-sharing plan, employee stock ownership plan (ESOP) or blind trust. Nor does it prohibit covered individuals from owning, through a mutual fund or other similar investment vehicle, the publicly traded shares of any employer with which SEIU or an Affiliate engages in collective bargaining or does business or which SEIU or an Affiliate seeks to organize, provided that all transactions affecting such interests are consistent with rates and terms established by the open market.
- (c) It is not permissible for any covered individual to:
 - (1) Knowingly have a substantial ownership or financial interest in any entity that engages in collective bargaining with SEIU or any of its Affiliates;

- (2) Make or attempt to influence or participate in any way in a decision concerning the relations of SEIU or an Affiliate with a vendor, firm or other entity or individual in which the covered individual or his or her relative, spouse or business partner has a substantial ownership or financial interest; or
 - (3) Engage in any self-dealing transactions with SEIU or any of its Affiliates, such as buying property from or selling property to SEIU, without the informed approval of the International Secretary-Treasurer (or Affiliate Secretary-Treasurer, as applicable), obtained after full disclosure, including an independent appraisal of the fair market value of the property to be bought or sold.
- (d) To ensure compliance with this Section, covered individuals are required to disclose any interests, transactions or interests covered by this Section in accordance with Section 3(b) of this Code.

SECTION 6. *Payments and Gifts from Employers, Vendors and Members.*

- (a) Covered individuals shall not knowingly accept any payments, benefits or gifts of more than minimal financial value under the circumstances presented from any employer that engages or seeks to engage in collective bargaining with SEIU or an Affiliate, or from any business or professional firm that does business or seeks to do business with SEIU or an Affiliate.
- (1) This Section does not extend to payments and benefits that are provided to covered individuals by prohibited employers as compensation for their primary and regular employment.
 - (2) This Section does not extend to work and services that covered individuals perform for prohibited employers or businesses on a part-time basis, through an arm's length transaction and for normal and customary pay for such work or services.
 - (3) This Section does not extend to participation in events hosted by public officials involving discussion of public policy matters.
 - (4) With respect to perishable items that are more than minimal but that are impracticable to return, such as food, it shall be considered compliance with this Section to discard such an item or place it in a common area for members and office staff to enjoy. If the gift is discarded or enjoyed communally, it is recommended that the giver should be advised of this disposition to dispel the appearance of any conflict of interest on the part of any covered individual and to discourage recurrence.

(b) Covered individuals shall not knowingly accept personal payments or gifts from any member, absent a personal relationship independent of the relationship between the Union and the member, other than a gift of minimal financial value. This provision does not apply to contributions to campaigns for union office made in accordance with the SEIU Constitution and Bylaws.

SECTION 7. *Conversion of Union Funds and Property.* Covered individuals shall not use, convert or divert any funds or other property belonging to SEIU to such individual's personal benefit or advantage.

SECTION 8. *Applicability to Third Parties.* The principles of this Code apply to those investments and activities of third parties that amount to a subterfuge to conceal the financial interests of SEIU officers or employees or to circumvent the standards of this Code.

SECTION 9. *Certain Loans Prohibited.* SEIU shall not make loans to any officer or employee, or to any of their family members, that at any time exceed \$2,000 in total indebtedness on the part of such officer, employee or family member.

PART D: BENEFIT FUNDS AND RELATED ORGANIZATIONS

SECTION 10. *Obligations of Covered Individuals.*

(a) *Benefit Funds.*

- (1) For purposes of this Section:
 - a. A "benefit fund or plan" means a retirement, health or welfare benefit fund or plan sponsored by SEIU or an Affiliate, or in which SEIU or an Affiliate participates.
 - b. The definition of "substantial ownership or financial interest" provided in Section 5 applies.
- (2) Covered individuals who serve in a fiduciary position with respect to or exercise responsibilities or influence in the administration of a benefit fund or plan shall not:
 - a. Have any substantial financial interest in, or any compromising personal ties to, any investment manager, insurance carrier, broker, consultant or other firm or individual doing business or seeking to do business with the fund or plan;
 - b. Accept any personal payment from any business or professional firm that does business or seeks to do business with the fund or plan, other than contractual payment for work performed; or

c. Receive compensation of any kind for service as an employee representative or labor-designated trustee for a fund or plan, except for reimbursement of reasonable expenses properly and actually incurred and provided uniformly to such representatives or trustees, with the proviso that it is not a violation of this provision for an officer or managerial employee who is not a full-time employee of SEIU or an Affiliate to be a lawfully paid employee of a fund or plan if such employment is consistent with applicable legal restrictions and fully disclosed through appropriate reports.

(3) To ensure compliance with this Section, all covered individuals shall disclose any interests, transactions or relationships covered by this Section in accordance with Section 3(b) of this Code.

(4) No person shall serve in a fiduciary capacity or exercise responsibilities in the administration of a benefit fund or plan who has been convicted of any felony involving the infliction of grievous bodily injury or the abuse or misuse of such person's position or employment in an employee benefit plan to seek or obtain an illegal gain at the expense of the beneficiaries of the employee benefit fund or plan, except for the limited exceptions set forth in applicable federal law.

(b) Related Organizations.

(1) For purposes of this Section, an organization "related to" SEIU or an Affiliate means an organization

- in which 25 percent or more of the members of the governing board are officers or employees of SEIU or an Affiliate, or
- for which 50 percent or more of its funding is provided by SEIU or an Affiliate.

(2) Covered individuals who serve in a fiduciary position with respect to or exercise responsibilities or influence in the administration of an organization related to SEIU shall comply with the provisions and shall hold themselves to the standards of the SEIU Code while they are acting for or on behalf of the related organization.

PART E: FAMILY AND PERSONAL RELATIONSHIPS

SECTION 11. *Purpose of Rules Governing Family and Personal Relationships.* SEIU does not prohibit the employment of qualified relatives of current officers or employees, or of individuals with whom an officer or employee has a romantic or intimate personal relationship. SEIU also does not prohibit the retention of qualified vendors that employ relatives of current SEIU officers or employees or individuals with whom an officer or employee has a personal relationship.

However, SEIU recognizes that the existence of such relationships can lead to problems, including favoritism or the appearance of favoritism toward relatives or those who are involved in a personal relationship. Giving these individuals special treatment – or creating the impression that they receive special treatment – is inconsistent with our principles of stewardship and accountability and with our duty to responsibly conduct the business of SEIU. The provisions of this PART are designed to ensure that family or personal relationships do not influence professional interactions between the employees involved and other officers, employees and third parties.

SECTION 12. *Definitions.* For purposes of this PART:

- (a) “Relative” means parent, spouse, spousal equivalent, daughter, son, grandparent, grandchild, brother, sister, aunt, uncle, niece, nephew, first or second cousin, corresponding in-law, “step” relation, foster parent, foster child, and any member of the employee’s household. Domestic partner relatives are covered to the same extent as spousal relatives.
- (b) “Personal relationship” means an ongoing romantic or intimate personal relationship that can include, but is not limited to, dating, living together or being a partner or significant other. This definition applies regardless of gender, gender identification, or sexual orientation of the individuals in the relationship. This restriction does not extend to friends, acquaintances or former colleagues who are not otherwise encompassed in the scope of “personal relationships.”

SECTION 13. *Prohibited Conduct.* The following general principles will apply:

- (a) Applications for employment by relatives and those who have a personal relationship with a covered individual will be evaluated on the same qualification standards used to assess other applicants. Transmission to the appropriate hiring authority of applications on behalf of individuals who have a family or personal relationship shall not in itself constitute an attempt to influence hiring decisions. Further input into the application process, however, may be deemed improper.
- (b) Covered individuals will not make hiring decisions about their relatives or persons with whom they have a personal relationship, or attempt to influence hiring decisions made by others.
- (c) Supervisory employees shall not directly supervise a relative or a person with whom they have a personal relationship. In the absence of a direct reporting or supervisor-to-subordinate relationship, relatives or employees who have a family or personal relationship generally are permitted to work in the same department, provided that there are no particular operational difficulties.
- (d) Covered individuals shall not make work-related decisions, or participate in or provide input into work-related decisions made by others, involving relatives or

employees with whom they have a personal relationship, even if they do not directly supervise that individual. Prohibited decisions include, but are not limited to, decisions about hiring, wages, hours, benefits, assignments, evaluations, training, discipline, promotions, and transfers.

- (e) To ensure compliance with this Section, all covered individuals must disclose to the Ethics Ombudsperson or the Affiliate Ethics Liaison, as appropriate, any relationships covered by this Section in accordance with Section 3(b) of this Code.

PART F: ENFORCEMENT

SECTION 14. *Ethics Officer.* The office of the Ethics Officer is established to provide independent assistance to SEIU in the implementation and enforcement of the Code. The Ethics Officer shall be an individual of unimpeachable integrity and reputation, preferably with experience in ethics, law enforcement and the workings of the labor movement. The Ethics Officer shall provide his or her services under contract and shall not be an employee of the International Union or any of its Affiliates. The Ethics Officer shall be appointed by the International President and confirmed by the International Executive Board. The International President, the International Secretary-Treasurer, and the SEIU International Executive Board may refer matters concerning the Code to the Ethics Officer for review and/or advice, consistent with Sections 22 and 23.

SECTION 15. *Ethics Ombudsperson.* The office of SEIU Ethics Ombudsperson is established to oversee implementation and enforcement of the Code and ongoing efforts to strengthen the ethical culture throughout the Union. The Ethics Ombudsperson is responsible for providing assistance to the International Union and Affiliates on questions and concerns relating to the Code and ethical culture; directing the training of SEIU and Affiliate officers and staff concerning the Code and ethical culture; responding to ethics concerns and complaints consistent with Sections 17-23; receiving and resolving disclosures of conflicts of interest; assisting the Ethics Officer; and providing other support as necessary to the overall SEIU ethics program. The Ethics Ombudsperson, in consultation with the Ethics Officer, shall issue a report to the SEIU International Executive Board annually, summarizing compliance, training, enforcement, culture building and related activities, and making recommendations for modifications to the ethics program that he or she believes would enhance the program's effectiveness. The Ethics Ombudsperson may also conduct periodic reviews for the purposes of monitoring compliance with this Code and determining whether partnerships, joint ventures, and arrangements with management organizations conform to this Code, are properly recorded, reflect reasonable investment or payment for goods and services, further SEIU's tax-exempt purposes, and do not result in inurement, impermissible private benefit, or excess benefit transactions. The Ethics Ombudsperson shall be employed in the SEIU Legal Department.

SECTION 16. *Affiliate Ethics Liaison.* Each Affiliate shall appoint an Ethics Liaison who will be available for ethics advice or guidance, will serve as an Affiliate's key

contact with the International's Ethics Ombudsperson, will assist in enforcement of the Code, will oversee the delivery of ethics-related training, will assist the Affiliate in strengthening its ethical culture, and will serve as an ethical leader in the Affiliate.

- (a) Presidents, chief executive officers, secretary-treasurers, chief financial officers, chiefs of staff, and the equivalent of any of the foregoing are not eligible to serve as Ethics Liaisons.
- (b) Affiliates are encouraged to consider rotating the Ethics Liaison position periodically, barring operational difficulties, to develop ethical leadership broadly in the Affiliate. Affiliates shall advise the SEIU Ethics Ombudsperson as soon as practicable of the appointment of Ethics Liaisons and of any vacancy that occurs in the position.
- (c) Ethics Liaisons will regularly receive training from the International Union specific to the role. Affiliates should make every effort to ensure the participation of their Ethics Liaisons.

SECTION 17. *Complaints.*

- (a) 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 pursuant to Section 24. Complaints alleging violation of the Code shall not be enforced under SEIU or Affiliate constitutions and bylaws unless they also allege violations of the constitutions and bylaws.
- (b) The International Union shall post contact information for submission of ethics complaints on the SEIU website and shall provide that information on request.
- (c) Each Affiliate shall provide its staff and membership with contact information for its Ethics Liaison.

SECTION 18. *Complaints Handled by the International Union.* Complaints alleging violation of the Code that are submitted to the International Union or the Ethics Officer shall be referred initially to the SEIU Ethics Ombudsperson. The Ethics Ombudsperson shall review ethics complaints submitted to the International Union and shall respond to them in his or her discretion, including but not limited to providing advice or guidance, resolving them informally, directing them to resources outside the ethics office, and referring them to the Ethics Officer or Affiliate for further processing. The individual submitting the complaint shall be notified of the status of the complaint as appropriate in the discretion of the Ethics Ombudsperson but in all events upon its conclusion.

SECTION 19. *Complaints Handled by Affiliate; Notice to Ethics Ombudsperson.*

Ethics complaints that are raised with or referred to an Affiliate shall be investigated by the affected Affiliate and, where appropriate, may form the basis of employee discipline or formal internal union charges to be processed before a trial body in accordance with

the requirements set forth in the Affiliate's constitution and bylaws and/or the SEIU Constitution and Bylaws. The Ethics Ombudsperson may advise an Affiliate concerning matters related to the investigation and processing of complaints and charges alleging violation of the Code. Where a complaint involves an Affiliate's president, chief executive officer, chief of staff, secretary-treasurer, chief financial officer, or the equivalent, the Affiliate shall notify the Ethics Ombudsperson as soon as practicable. The Ethics Ombudsperson may consult with the Ethics Officer concerning any question referred by an Affiliate.

SECTION 20. *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.

SECTION 21. *Original Jurisdiction.*

- (a) *Requests for Original Jurisdiction.* If an Affiliate or an Affiliate executive board member, officer, or member believes that formal internal union charges against a covered individual that also allege violations of this Code involve a situation which may seriously jeopardize the interests of the Affiliate or the International Union, or that the hearing procedure of the Affiliate will not completely protect the interests of the Affiliate, an officer or member, that individual may request that the International President assume original jurisdiction under Article XVII, Section 2(f) of the SEIU Constitution and Bylaws.
- (b) *Assumption of Original Jurisdiction by International President.* In accordance with Article XVII, Section 2(f) of the SEIU Constitution and Bylaws, the International President may in his or her discretion assume original jurisdiction of formal internal union charges also alleging violation of this Code if as a result of an investigation he or she believes that the charges filed against a covered individual involve a situation which may seriously jeopardize the interests of the Affiliate or the International Union. In his or her discretion, the International President may refer the matter to the Ethics Officer for a recommendation concerning the possible assumption of original jurisdiction.

SECTION 22. *Referral of Formal Charges to Ethics Officer.* If formal internal union charges filed with the International Union under Article XVII, Section 3 of the SEIU Constitution and Bylaws also allege violation of the Code by an officer or executive board member of the International Union or an Affiliate, such charges may be referred to the Ethics Officer for review and recommendations.

SECTION 23. *Review of Claims by Ethics Officer.*

- (a) If after review of the allegations of violations of the Code in a complaint or formal charge, the Ethics Officer finds that the allegations have merit and/or warrant further investigation, he shall recommend a response or course of action for the International Union to respond to the complaint or charges, including but not limited to the following:
- (1) Further investigation by SEIU personnel and/or outside investigator(s);
 - (2) Filing of formal charges under Article XVII of the SEIU Constitution and Bylaws;
 - (3) Assumption of original jurisdiction by International President pursuant to Article XVII, Section 2(f) of the SEIU Constitution and Bylaws;
 - (4) Appointment of an outside hearing officer to conduct a trial under Article XVII, Section 3 of the SEIU Constitution and Bylaws;
 - (5) Discipline of covered employees;
 - (6) Sanction of covered officers or members accused in formal proceedings, and
 - (7) Other action deemed appropriate in the discretion of the Ethics Officer.
- (b) If the Ethics Officer 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 International Union of his or her findings.

PART G: PROTECTION OF WHISTLEBLOWERS

SECTION 24. *Confidentiality.* SEIU will make all reasonable efforts to keep confidential the identity of any person(s) raising an ethics concern, inquiry, report or complaint under the Code unless disclosure is authorized by the complainant or is required for SEIU to carry out its fiduciary or legal duties. SEIU will also treat communications concerning ethics complaints or concerns with as much confidentiality and discretion as possible, provided that it remains able to conduct a complete and fair investigation, carry out its fiduciary and legal duties, and review its operations as necessary.

SECTION 25. *No Retaliation.* SEIU encourages all officers and employees to bring ethics concerns and complaints that the Code has been violated to the attention of the Union, as set forth more fully in PART F above.

- (a) SEIU expressly prohibits retaliation against covered individuals and members for:
- (1) Making good faith complaints, reports or inquiries pursuant to this Code;

- (2) Opposing any practice prohibited by the Code;
 - (3) Providing evidence, testimony or information relative to, or otherwise cooperating with, any investigation or enforcement process of the Code; and
 - (4) Otherwise participating in the enforcement process set forth in PART F above.
- (b) In particular, SEIU will not tolerate any form of retaliation against Affiliate Ethics Liaisons for performing their responsibilities.
- (c) Any act of alleged retaliation should be reported to the SEIU Ethics Ombudsperson or the Affiliate Ethics Liaison immediately and will be responded to promptly.

APPENDIX A

Approved by the SEIU International Executive Board, June 13, 2009

Approved by the SEIU International Executive Board as revised, January 21, 2016

SEIU CODE OF ETHICS AND CONFLICT OF INTEREST POLICY

PART A: PREAMBLE

The Service Employees International Union (SEIU) believes in the dignity and worth of all workers. We have dedicated ourselves to improving the lives of workers and their families and to creating a more just and humane society. We are committed to pursuing justice for all, and in particular to bringing economic and social justice to those most exploited in our community. To achieve our mission, we must develop highly trained and motivated leaders at every level of the Union who reflect the membership in all of its diversity.

Union members place tremendous trust in their leaders. SEIU elected officers and managers owe not just fiduciary obligations to union members; given the moral purpose of our mission, SEIU leaders 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. This *Code of Ethics and Conflict of Interest Policy* (the "Code" or "SEIU Code") 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.

We recognize that no code of ethics can prevent some individuals from violating ethical standards of behavior. We also know that the SEIU Code is not sufficient in itself to sustain an ethical culture throughout the Union. To accomplish the goals for which this Code has been created, we must establish systems of accountability for all elected leaders and staff. These systems must include appropriate checks and balances and internal operating procedures that minimize the opportunity for misuse or abuse, as well as the perception of either, in spending union funds and exercising decision-making authority. The systems also must include adequate provision for training on understanding and implementing this Code. More broadly, we emphasize the importance of the range of standards, practices, and values described in "A Strong Ethical Culture," Section A of the *SEIU Policies on Ethics and Standards* that were enacted with the Code in 2009.

In particular, SEIU is committed to providing meaningful paths for member involvement and participation in our Union. The SEIU Member Bill of Rights and Responsibilities in the Union is a significant source of SEIU members' rights and obligations. Its exclusive enforcement through the procedures set forth in Article XVII of the SEIU Constitution and Bylaws reflects a commitment to the democratic principles that have always governed SEIU. Article XVII's numerous protections against arbitrary or unlawful discipline of members also form an essential ingredient of the democratic life of the Union. Similarly, the requirement that Affiliates provide for regular meetings of the membership, set forth in Article XV, Section 5 of the Constitution, is another important element in the democratic functioning of SEIU. Finally, the provisions against discrimination and harassment on the basis of race, creed, color, religion, sex, gender expression, sexual orientation, national origin, citizenship status, marital status, ancestry, age and disability contained in Article III, Section 4 of the SEIU Constitution and in the Constitutions and Bylaws of Affiliates, the SEIU Anti-discrimination and Anti-Harassment Policy and Procedure, and similar policies of Affiliates forbid conduct in violation of SEIU's historic belief that our strength comes from our unity and diversity and that we must not be divided by forces of discrimination.

Individuals subject to this Code are expected to comply with State and Federal laws, the Constitution and Bylaws of SEIU and Affiliates, and the anti-discrimination and anti-harassment policies of SEIU and Affiliates as part and parcel of our commitment to sustaining an ethical culture and the highest standards of conduct throughout the Union. Violations of these laws and policies are ethical breaches; however, these violations should be addressed through avenues provided by the applicable laws and policies and not through the Code unless they also allege violations of this Code. In particular, the sole enforcement mechanism for matters covered by the SEIU or Affiliate Constitutions and Bylaws is that which is set forth in those documents, unless violations of this Code are also alleged. Finally, grievances that arise under collective bargaining agreements are excluded from enforcement under this Code unless they also allege violations of this Code.

The scope and standards of this Code are set forth in the following Sections.

SECTION 1. *Applicability to International Union.* The SEIU Code is henceforth applicable in its entirety to all officers, executive board members and employees of SEIU. These individuals are referred to herein as "covered individuals." SEIU shall append or attach the Code in its entirety to its Constitution and Bylaws in its next and all future publications.

SECTION 2. *Applicability to SEIU Affiliates.* By enactment of the SEIU International Executive Board, the SEIU Code is applicable in its entirety to all officers, executive board members and employees of all affiliated bodies and local unions chartered by SEIU ("Affiliates" herein). These individuals are referred to herein as "covered individuals."

- (a) Each Affiliate shall ensure that the Code extends to all employees as soon as practicable but in no event later than the end of 2020.

- (b) Each Affiliate shall append or attach the Code in its entirety to its Constitution and Bylaws at its next and all future publications.
- (c) Wherever reference herein is made to SEIU or an SEIU program, department or position, the corresponding reference is to the particular Affiliate or its equivalent program, department or position.
- (d) Each Affiliate is responsible for enforcing the Code and educating its covered individuals on the Code in a manner consistent with the Code's terms, subject to assistance and oversight from SEIU.
- (e) The Code is not intended to restrain any Affiliate from adopting higher standards and best practices, subject to the approval of the SEIU Ethics Ombudsperson.

PART B: GENERAL OBLIGATIONS

SECTION 3. *Obligations of Covered Individuals.*

- (a) *Commitment to the Code.* SEIU and each Affiliate shall provide a copy of the Code to each covered individual. It is the duty and obligation of covered individuals to acknowledge annually that they have received a copy of this Code, that they have reviewed and understand it, and that they agree to comply with it.
- (b) *Duty of disclosure.* Covered individuals shall disclose to the SEIU Ethics Ombudsperson or the Affiliate Ethics Liaison, described in PART F of this Code, any conflict of interest or appearance of a conflict, which arises when their paramount duty to the interest of members is potentially compromised by a competing interest, including but not limited to an interest, relationship or transaction referenced in this Code. Actual, perceived and potential conflicts should be disclosed at the time that covered individuals become aware of them.
- (c) *Disqualification from service to SEIU or Affiliate.* No person shall serve as an officer or managerial employee of SEIU or any Affiliate who has been convicted of any felony involving the infliction of grievous bodily injury, or the abuse or misuse of such person's position or employment in a labor organization to seek or obtain illegal gain at the expense of the members, except for the limited exceptions set forth in applicable federal law.

PART C: BUSINESS AND FINANCIAL ACTIVITIES

SECTION 4. *General Duty to Protect Members' Funds; Members' Right to Examine Records.*

- (a) The assets and funds of a labor organization 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. The Union shall conduct its proprietary functions, including all contracts for purchase or sale or for the provision of significant services, in a manner consistent with this Code. All officers, executive board members and employees of SEIU and SEIU Affiliates, whether elected or appointed, have a trust and high fiduciary duty to honestly and faithfully serve the best interests of the membership.
- (b) Consistent with Section 201 of the Labor-Management Reporting and Disclosure Act, SEIU shall permit a member for just cause to examine any books, records and accounts necessary to verify SEIU's annual financial report under that section to the U.S. Department of Labor.
- (c) Affiliates comprised solely of members employed by government bodies shall permit a member to examine its financial report submitted to a state agency and, consistent with state law and for just cause, to examine any books, records and accounts necessary to verify the Affiliate's financial report.

SECTION 5. *Prohibited Financial Interests and Transactions.* Covered individuals shall not, to the best of their knowledge, have a substantial ownership or financial interest that conflicts with their fiduciary duty.

- (a) For purposes of these rules, a "substantial ownership or financial interest" is one which either contributes significantly to the individual's financial well-being or which enables the individual to significantly affect or influence the course of the business entity's decision-making.
- (b) A "substantial ownership or financial interest" does not include stock in a purchase plan, profit-sharing plan, employee stock ownership plan (ESOP) or blind trust. Nor does it prohibit covered individuals from owning, through a mutual fund or other similar investment vehicle, the publicly traded shares of any employer with which SEIU or an Affiliate engages in collective bargaining or does business or which SEIU or an Affiliate seeks to organize, provided that all transactions affecting such interests are consistent with rates and terms established by the open market.
- (c) It is not permissible for any covered individual to:

- (1) Knowingly have a substantial ownership or financial interest in any entity that engages in collective bargaining with SEIU or any of its Affiliates;
 - (2) Make or attempt to influence or participate in any way in a decision concerning the relations of SEIU or an Affiliate with a vendor, firm or other entity or individual in which the covered individual or his or her relative, spouse or business partner has a substantial ownership or financial interest; or
 - (3) Engage in any self-dealing transactions with SEIU or any of its Affiliates, such as buying property from or selling property to SEIU, without the informed approval of the International Secretary-Treasurer (or Affiliate Secretary-Treasurer, as applicable), obtained after full disclosure, including an independent appraisal of the fair market value of the property to be bought or sold.
- (d) To ensure compliance with this Section, covered individuals are required to disclose any interests, transactions or interests covered by this Section in accordance with Section 3(b) of this Code.

SECTION 6. *Payments and Gifts from Employers, Vendors and Members.*

- (a) Covered individuals shall not knowingly accept any payments, benefits or gifts of more than minimal financial value under the circumstances presented from any employer that engages or seeks to engage in collective bargaining with SEIU or an Affiliate, or from any business or professional firm that does business or seeks to do business with SEIU or an Affiliate.
 - (1) This Section does not extend to payments and benefits that are provided to covered individuals by prohibited employers as compensation for their primary and regular employment.
 - (2) This Section does not extend to work and services that covered individuals perform for prohibited employers or businesses on a part-time basis, through an arm's length transaction and for normal and customary pay for such work or services.
 - (3) This Section does not extend to participation in events hosted by public officials involving discussion of public policy matters.
 - (4) With respect to perishable items that are more than minimal but that are impracticable to return, such as food, it shall be considered compliance with this Section to discard such an item or place it in a common area for members and office staff to enjoy. If the gift is discarded or enjoyed communally, it is recommended that the giver should be advised of this

disposition to dispel the appearance of any conflict of interest on the part of any covered individual and to discourage recurrence.

- (b) Covered individuals shall not knowingly accept personal payments or gifts from any member, absent a personal relationship independent of the relationship between the Union and the member, other than a gift of minimal financial value. This provision does not apply to contributions to campaigns for union office made in accordance with the SEIU Constitution and Bylaws.

SECTION 7. *Conversion of Union Funds and Property.* Covered individuals shall not use, convert or divert any funds or other property belonging to SEIU to such individual's personal benefit or advantage.

SECTION 8. *Applicability to Third Parties.* The principles of this Code apply to those investments and activities of third parties that amount to a subterfuge to conceal the financial interests of SEIU officers or employees or to circumvent the standards of this Code.

SECTION 9. *Certain Loans Prohibited.* SEIU shall not make loans to any officer or employee, or to any of their family members, that at any time exceed \$2,000 in total indebtedness on the part of such officer, employee or family member.

PART D: BENEFIT FUNDS AND RELATED ORGANIZATIONS

SECTION 10. *Obligations of Covered Individuals.*

- (a) *Benefit Funds.*

- (1) For purposes of this Section:

- a. A "benefit fund or plan" means a retirement, health or welfare benefit fund or plan sponsored by SEIU or an Affiliate, or in which SEIU or an Affiliate participates.
- b. The definition of "substantial ownership or financial interest" provided in Section 5 applies.

- (2) Covered individuals who serve in a fiduciary position with respect to or exercise responsibilities or influence in the administration of a benefit fund or plan shall not:

- a. Have any substantial financial interest in, or any compromising personal ties to, any investment manager, insurance carrier, broker, consultant or other firm or individual doing business or seeking to do business with the fund or plan;

- b. Accept any personal payment from any business or professional firm that does business or seeks to do business with the fund or plan, other than contractual payment for work performed; or
 - c. Receive compensation of any kind for service as an employee representative or labor-designated trustee for a fund or plan, except for reimbursement of reasonable expenses properly and actually incurred and provided uniformly to such representatives or trustees, with the proviso that it is not a violation of this provision for an officer or managerial employee who is not a full-time employee of SEIU or an Affiliate to be a lawfully paid employee of a fund or plan if such employment is consistent with applicable legal restrictions and fully disclosed through appropriate reports.
- (3) To ensure compliance with this Section, all covered individuals shall disclose any interests, transactions or relationships covered by this Section in accordance with Section 3(b) of this Code.
 - (4) No person shall serve in a fiduciary capacity or exercise responsibilities in the administration of a benefit fund or plan who has been convicted of any felony involving the infliction of grievous bodily injury or the abuse or misuse of such person's position or employment in an employee benefit plan to seek or obtain an illegal gain at the expense of the beneficiaries of the employee benefit fund or plan, except for the limited exceptions set forth in applicable federal law.

(b) Related Organizations.

- (1) For purposes of this Section, an organization "related to" SEIU or an Affiliate means an organization
 - in which 25 percent or more of the members of the governing board are officers or employees of SEIU or an Affiliate, or
 - for which 50 percent or more of its funding is provided by SEIU or an Affiliate.
- (2) Covered individuals who serve in a fiduciary position with respect to or exercise responsibilities or influence in the administration of an organization related to SEIU shall comply with the provisions and shall hold themselves to the standards of the SEIU Code while they are acting for or on behalf of the related organization.

PART E: FAMILY AND PERSONAL RELATIONSHIPS

SECTION 11. *Purpose of Rules Governing Family and Personal Relationships.* SEIU does not prohibit the employment of qualified relatives of current officers or employees, or of individuals with whom an officer or employee has a romantic or intimate personal relationship. SEIU also does not prohibit the retention of qualified vendors that employ relatives of current SEIU officers or employees or individuals with whom an officer or employee has a personal relationship.

However, SEIU recognizes that the existence of such relationships can lead to problems, including favoritism or the appearance of favoritism toward relatives or those who are involved in a personal relationship. Giving these individuals special treatment – or creating the impression that they receive special treatment – is inconsistent with our principles of stewardship and accountability and with our duty to responsibly conduct the business of SEIU. The provisions of this PART are designed to ensure that family or personal relationships do not influence professional interactions between the employees involved and other officers, employees and third parties.

SECTION 12. *Definitions.* For purposes of this PART:

- (a) “Relative” means parent, spouse, spousal equivalent, daughter, son, grandparent, grandchild, brother, sister, aunt, uncle, niece, nephew, first or second cousin, corresponding in-law, “step” relation, foster parent, foster child, and any member of the employee’s household. Domestic partner relatives are covered to the same extent as spousal relatives.
- (b) “Personal relationship” means an ongoing romantic or intimate personal relationship that can include, but is not limited to, dating, living together or being a partner or significant other. This definition applies regardless of gender, gender identification, or sexual orientation of the individuals in the relationship. This restriction does not extend to friends, acquaintances or former colleagues who are not otherwise encompassed in the scope of “personal relationships.”

SECTION 13. *Prohibited Conduct.* The following general principles will apply:

- (a) Applications for employment by relatives and those who have a personal relationship with a covered individual will be evaluated on the same qualification standards used to assess other applicants. Transmission to the appropriate hiring authority of applications on behalf of individuals who have a family or personal relationship shall not in itself constitute an attempt to influence hiring decisions. Further input into the application process, however, may be deemed improper.
- (b) Covered individuals will not make hiring decisions about their relatives or persons with whom they have a personal relationship, or attempt to influence hiring decisions made by others.

- (c) Supervisory employees shall not directly supervise a relative or a person with whom they have a personal relationship. In the absence of a direct reporting or supervisor-to-subordinate relationship, relatives or employees who have a family or personal relationship generally are permitted to work in the same department, provided that there are no particular operational difficulties.
- (d) Covered individuals shall not make work-related decisions, or participate in or provide input into work-related decisions made by others, involving relatives or employees with whom they have a personal relationship, even if they do not directly supervise that individual. Prohibited decisions include, but are not limited to, decisions about hiring, wages, hours, benefits, assignments, evaluations, training, discipline, promotions, and transfers.
- (e) To ensure compliance with this Section, all covered individuals must disclose to the Ethics Ombudsperson or the Affiliate Ethics Liaison, as appropriate, any relationships covered by this Section in accordance with Section 3(b) of this Code.

PART F: ENFORCEMENT

SECTION 14. *Ethics Officer.* The office of the Ethics Officer is established to provide independent assistance to SEIU in the implementation and enforcement of the Code. The Ethics Officer shall be an individual of unimpeachable integrity and reputation, preferably with experience in ethics, law enforcement and the workings of the labor movement. The Ethics Officer shall provide his or her services under contract and shall not be an employee of the International Union or any of its Affiliates. The Ethics Officer shall be appointed by the International President and confirmed by the International Executive Board. The International President, the International Secretary-Treasurer, and the SEIU International Executive Board may refer matters concerning the Code to the Ethics Officer for review and/or advice, consistent with Sections 22 and 23.

SECTION 15. *Ethics Ombudsperson.* The office of SEIU Ethics Ombudsperson is established to oversee implementation and enforcement of the Code and ongoing efforts to strengthen the ethical culture throughout the Union. The Ethics Ombudsperson is responsible for providing assistance to the International Union and Affiliates on questions and concerns relating to the Code and ethical culture; directing the training of SEIU and Affiliate officers and staff concerning the Code and ethical culture; responding to ethics concerns and complaints consistent with Sections 17-23; receiving and resolving disclosures of conflicts of interest; assisting the Ethics Officer; and providing other support as necessary to the overall SEIU ethics program. The Ethics Ombudsperson, in consultation with the Ethics Officer, shall issue a report to the SEIU International Executive Board annually, summarizing compliance, training, enforcement, culture building and related activities, and making recommendations for modifications to the ethics program that he or she believes would enhance the program's effectiveness. The

Ethics Ombudsperson may also conduct periodic reviews for the purposes of monitoring compliance with this Code and determining whether partnerships, joint ventures, and arrangements with management organizations conform to this Code, are properly recorded, reflect reasonable investment or payment for goods and services, further SEIU's tax-exempt purposes, and do not result in inurement, impermissible private benefit, or excess benefit transactions. The Ethics Ombudsperson shall be employed in the SEIU Legal Department.

SECTION 16. *Affiliate Ethics Liaison.* Each Affiliate shall appoint an Ethics Liaison who will be available for ethics advice or guidance, will serve as an Affiliate's key contact with the International's Ethics Ombudsperson, will assist in enforcement of the Code, will oversee the delivery of ethics-related training, will assist the Affiliate in strengthening its ethical culture, and will serve as an ethical leader in the Affiliate.

- (a) Presidents, chief executive officers, secretary-treasurers, chief financial officers, chiefs of staff, and the equivalent of any of the foregoing are not eligible to serve as Ethics Liaisons.
- (b) Affiliates are encouraged to consider rotating the Ethics Liaison position periodically, barring operational difficulties, to develop ethical leadership broadly in the Affiliate. Affiliates shall advise the SEIU Ethics Ombudsperson as soon as practicable of the appointment of Ethics Liaisons and of any vacancy that occurs in the position.
- (c) Ethics Liaisons will regularly receive training from the International Union specific to the role. Affiliates should make every effort to ensure the participation of their Ethics Liaisons.

SECTION 17. *Complaints.*

- (a) 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 pursuant to Section 24. Complaints alleging violation of the Code shall not be enforced under SEIU or Affiliate constitutions and bylaws unless they also allege violations of the constitutions and bylaws.
- (b) The International Union shall post contact information for submission of ethics complaints on the SEIU website and shall provide that information on request.
- (c) Each Affiliate shall provide its staff and membership with contact information for its Ethics Liaison.

SECTION 18. *Complaints Handled by the International Union.* Complaints alleging violation of the Code that are submitted to the International Union or the Ethics Officer

shall be referred initially to the SEIU Ethics Ombudsperson. The Ethics Ombudsperson shall review ethics complaints submitted to the International Union and shall respond to them in his or her discretion, including but not limited to providing advice or guidance, resolving them informally, directing them to resources outside the ethics office, and referring them to the Ethics Officer or Affiliate for further processing. The individual submitting the complaint shall be notified of the status of the complaint as appropriate in the discretion of the Ethics Ombudsperson but in all events upon its conclusion.

SECTION 19. *Complaints Handled by Affiliate; Notice to Ethics Ombudsperson.*

Ethics complaints that are raised with or referred to an Affiliate shall be investigated by the affected Affiliate and, where appropriate, may form the basis of employee discipline or formal internal union charges to be processed before a trial body in accordance with the requirements set forth in the Affiliate's constitution and bylaws and/or the SEIU Constitution and Bylaws. The Ethics Ombudsperson may advise an Affiliate concerning matters related to the investigation and processing of complaints and charges alleging violation of the Code. Where a complaint involves an Affiliate's president, chief executive officer, chief of staff, secretary-treasurer, chief financial officer, or the equivalent, the Affiliate shall notify the Ethics Ombudsperson as soon as practicable. The Ethics Ombudsperson may consult with the Ethics Officer concerning any question referred by an Affiliate.

SECTION 20. *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.

SECTION 21. *Original Jurisdiction.*

- (a) *Requests for Original Jurisdiction.* If an Affiliate or an Affiliate executive board member, officer, or member believes that formal internal union charges against a covered individual that also allege violations of this Code involve a situation which may seriously jeopardize the interests of the Affiliate or the International Union, or that the hearing procedure of the Affiliate will not completely protect the interests of the Affiliate, an officer or member, that individual may request that the International President assume original jurisdiction under Article XVII, Section 2(f) of the SEIU Constitution and Bylaws.
- (b) *Assumption of Original Jurisdiction by International President.* In accordance with Article XVII, Section 2(f) of the SEIU Constitution and Bylaws, the International President may in his or her discretion assume original jurisdiction of formal internal union charges also alleging violation of this Code if as a result of an investigation he or she believes that the charges filed against a covered individual involve a situation which may seriously jeopardize the interests of the

Affiliate or the International Union. In his or her discretion, the International President may refer the matter to the Ethics Officer for a recommendation concerning the possible assumption of original jurisdiction.

SECTION 22. *Referral of Formal Charges to Ethics Officer.* If formal internal union charges filed with the International Union under Article XVII, Section 3 of the SEIU Constitution and Bylaws also allege violation of the Code by an officer or executive board member of the International Union or an Affiliate, such charges may be referred to the Ethics Officer for review and recommendations.

SECTION 23. *Review of Claims by Ethics Officer.*

- (a) If after review of the allegations of violations of the Code in a complaint or formal charge, the Ethics Officer finds that the allegations have merit and/or warrant further investigation, he shall recommend a response or course of action for the International Union to respond to the complaint or charges, including but not limited to the following:
 - (1) Further investigation by SEIU personnel and/or outside investigator(s);
 - (2) Filing of formal charges under Article XVII of the SEIU Constitution and Bylaws;
 - (3) Assumption of original jurisdiction by International President pursuant to Article XVII, Section 2(f) of the SEIU Constitution and Bylaws;
 - (4) Appointment of an outside hearing officer to conduct a trial under Article XVII, Section 3 of the SEIU Constitution and Bylaws;
 - (5) Discipline of covered employees;
 - (6) Sanction of covered officers or members accused in formal proceedings, and
 - (7) Other action deemed appropriate in the discretion of the Ethics Officer.
- (b) If the Ethics Officer 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 International Union of his or her findings.

PART G: PROTECTION OF WHISTLEBLOWERS

SECTION 24. *Confidentiality.* SEIU will make all reasonable efforts to keep confidential the identity of any person(s) raising an ethics concern, inquiry, report or complaint under the Code unless disclosure is authorized by the complainant or is required for SEIU to carry out its fiduciary or legal duties. SEIU will also treat

communications concerning ethics complaints or concerns with as much confidentiality and discretion as possible, provided that it remains able to conduct a complete and fair investigation, carry out its fiduciary and legal duties, and review its operations as necessary.

SECTION 25. *No Retaliation.* SEIU encourages all officers and employees to bring ethics concerns and complaints that the Code has been violated to the attention of the Union, as set forth more fully in PART F above.

- (a) SEIU expressly prohibits retaliation against covered individuals and members for:
 - (1) Making good faith complaints, reports or inquiries pursuant to this Code;
 - (2) Opposing any practice prohibited by the Code;
 - (3) Providing evidence, testimony or information relative to, or otherwise cooperating with, any investigation or enforcement process of the Code; and
 - (4) Otherwise participating in the enforcement process set forth in PART F above.
- (b) In particular, SEIU will not tolerate any form of retaliation against Affiliate Ethics Liaisons for performing their responsibilities.
- (c) Any act of alleged retaliation should be reported to the SEIU Ethics Ombudsperson or the Affiliate Ethics Liaison immediately and will be responded to promptly.