



CONSTITUTION AND BYLAWS OF
DOCTORS COUNCIL, SEIU LOCAL 10MD

LAST REVISED MARCH 2026

TABLE OF CONTENTS

PREAMBLE

ARTICLE I (1): Organization Name

ARTICLE II (2): Organization Purpose

ARTICLE III (3): Membership

ARTICLE IV (4): Structure and Function of the House of Delegates

ARTICLE V (5): Functions and Responsibilities of Officers

ARTICLE VI (6): Election of Officers & Delegates; Election Protests

ARTICLE VII (7): Removal of Officers & Delegates; Filling Vacancies

ARTICLE VIII (8): Membership Meetings

ARTICLE IX (9): Rules of Order (Robert's)

ARTICLE X (10): Ratifying Collective Bargaining Agreements

ARTICLE XI (11): Finances

ARTICLE XII (12): Dues and Assessments

ARTICLE XIII (13): Discipline of Members

ARTICLE XIV (14): Exhaustion of Internal Union Remedies

ARTICLE XV (15): Benefit and Welfare Fund Trustees

ARTICLE XVI (16): Amending the Constitution

PREAMBLE

We are Doctors Council.

We are physicians, dentists, optometrists, podiatrists, veterinarians, and other dedicated clinicians. We all share a commitment to providing the highest quality, ethical care to our patients at hospitals, clinics, and other healthcare facilities across the United States.

We join together, harnessing our collective power, as we stand in solidarity with our fellow healthcare providers. We call, with one voice, for dignity, respect, and justice in our workplaces; for safe healthcare settings for ourselves and our patients; and for compensation and benefits that value our labor, enable professional growth and development, and promote the effective delivery of care and positive outcomes our patients deserve.

Doctors Council is a union founded on the premise that healthcare providers, like all workers, are stronger together, and deserve a voice at work. We are committed to organizing unrepresented doctors and other clinicians across the country, to build our collective power for ourselves, for our fellow healthcare workers, and for the broader labor movement. Consistent with our professional oaths and commitments, we believe that the patient-clinician relationship must be the central focus of the delivery of effective healthcare, and pledge to use our collective power to advocate for a health care system that delivers optimal care in a dignified and supportive manner for all.

We pledge to uphold the principles of equity, transparency, and democracy as we work together to advance our union, navigate the challenges of our profession, provide optimal care to our patients, and champion the rights and welfare of all medical professionals, including those who have not yet joined our ranks. We strive to foster an environment of cooperation, support, and mutual respect, to ensure that all Doctors Council members feel empowered to use their voice and contribute to our collective efforts. We honor the legacy of unionism and activism of those who fought for the rights and protections we have today, and acknowledge our obligation to act as stewards for the healthcare providers who will enjoy the benefits of our own courage and solidarity for generations to come.

We, in recognition of our shared commitment to the highest standards of medical practice, ethical patient care, and the advancement of our profession, do adopt this Constitution and Bylaws to govern our collective efforts and activities. Let this document be a reflection of our commitment to excellence, collaboration, and the advancement of healthcare for all.

We are Doctors Council.

ARTICLE I (1): ORGANIZATION NAME

The name of this Organization shall be Doctors Council SEIU Local 10MD.

ARTICLE II (2): ORGANIZATION PURPOSE

The purpose of Doctors Council is to represent its bargaining unit membership in all labor relations matters, including but not limited to those pertaining to compensation, benefits, hours, working conditions and professional standards. In addition, Doctors Council shall represent its membership in matters relating to the delivery of the highest quality of professional health care services and continued professional education.

ARTICLE III (3): MEMBERSHIP

Section 1: Eligibility

Health Care professionals employed in those positions represented by Doctors Council pursuant to its collective bargaining agreements, or by recognition of a health care employer, shall be eligible for membership.

Section 2: Application for Membership

The Secretary or their designee shall receive membership applications for employees covered under collective bargaining agreements of the Doctors Council and for recently organized employees who are not yet covered by a collective bargaining agreement. No such membership application may be disqualified or rejected except by resolution of the House of Delegates. Membership applications from healthcare professionals not under collective bargaining agreements shall be accepted only after approval of the House of Delegates.

Section 3: Classification of Members

(a) Active Members in Good Standing.

An active member in good standing is a Doctors Council member who (1) is employed under a Doctors Council collective bargaining agreement; and (2) in accordance with this Constitution and Bylaws and policies adopted by the House of Delegates, is current and paid up on dues, or any other assessments properly issued by the Union; and (3) is not subject to suspension or other discipline properly issued by the Union. Only active members in good standing shall be entitled to all

the rights and privileges of membership in the Union, including attending Union meetings and participating in Union elections.

(b) Rights of Members.

Only active members in good standing shall have any interest, vested or otherwise, in any of the rights or property of the Union.

(c) Retired Members.

Members of Doctors Council who have retired from covered employment, who are not currently indebted to the Union for dues or any other assessments properly issued by the Union, and who are not subject to suspension or other discipline properly issued by the Union, shall be permitted Retiree Membership. Retiree members shall enjoy such rights and benefits as determined by the House of Delegates. Retiree members shall not be responsible for the payment of dues and shall not be entitled to attend meetings or participate in union elections.

ARTICLE IV (4): STRUCTURE AND FUNCTION OF THE HOUSE OF DELEGATES

Section 1: House of Delegates

Doctors Council shall be governed by the House of Delegates, which shall be comprised of members in good standing of the Doctors Council.

Section 2: Authority of the House of Delegates

(a) The House of Delegates of the Doctors Council shall act on behalf of the membership under its general and specific authority. Without limiting such general powers as the House of Delegates may have, it shall exercise the following specific powers:

1. Exercise, conduct, manage and control all the powers, business, property, and affairs of Doctors Council, hire, retain, employ, and pay any person, firm, partnership, or corporation and make any management, agency or other contract with any person or corporation relative to any or all of such powers, business, property, and affairs.
2. Make rules and regulations for the purpose of exercising said powers and for the guidance of its agents.
3. Subject to the provisions of Article XII (12) hereof, fix, levy and collect such dues and special assessments, by dues check-off or any other appropriate manner as may be necessary, to carry out the purposes of Doctors Council.
4. Establish such fiscal reserves, as it may in its discretion deem advisable.

5. Elect one or more banks to act as depositories of the funds of the Council and to determine the manner of receiving, depositing, and disbursing the funds, the manner of withdrawal thereof, and the persons by whom checks, notes, drafts and other orders for the payment of money shall be signed.
6. Designate and appoint agents, servants and/or employees with specific powers to carry on designated functions of the Doctors Council.

Section 3: Representational Units

A “Representational Unit” is defined as a bargaining unit with a collective bargaining agreement. For the purpose of this Article, any satellite clinic or program of a hospital facility shall be deemed to be part of its affiliate hospital as a single Representational Unit. Each Representational Unit is entitled to elect at least one (1) Delegate, with additional Delegates apportioned in accordance with the formula set forth below in Article VI (Six). Any member elected as an Officer shall be deemed a Delegate-at-large and shall not count as a Delegate from the Representational Unit where they are assigned or employed.

Section 4: Newly Organized Bargaining Units

When a bargaining unit shall become affiliated with Doctors Council, one non-voting observer from such unit may attend the meetings of the House of Delegates. No later than one hundred twenty (120) days after ratification of such unit's collective bargaining agreement, such unit shall elect, on an interim basis, Delegates to the House pursuant to such procedures as shall be determined by the Committee on Representation and Elections, which may result in the House of

Delegates temporarily being comprised of greater than the contemplated maximum number of Delegates until the next regular Delegate election.

Section 5: Quorum

One-third (1/3) of the elected Delegates shall constitute a quorum at any meeting of the House of Delegates.

Section 6: Term

Delegates shall be elected to serve two (2) year terms. The terms of office shall be staggered so that one-half (1/2) of the Delegate body is elected annually.

Section 7: House of Delegates Meetings

The House of Delegates shall meet as a body at least four (4) times annually, and shall make best efforts to ensure that no more than four (4) months elapse between meetings of the House of Delegates. All meetings shall be called upon at least two (2) weeks' prior written notice to each Delegate. In the event of emergent circumstances, however, such written notice may be waived, provided that reasonable efforts are made by the President or their designee to give notice at the earliest time to each member of the House. At any such special meeting, the agenda shall be limited to the subject matter of the emergent issue, and the President shall have included in the minutes of such meeting the type and time of notice provided to each member of the House. Membership may attend any regular or special meeting of the House of Delegates, except when convened in Executive Session.

ARTICLE V (5): FUNCTIONS AND RESPONSIBILITIES OF OFFICERS

Section 1: Officers and Executive Committee

- (a) The Officers of Doctors Council shall be the President, Executive Vice President, Area Vice Presidents, Secretary, and Treasurer, who shall comprise the Executive Committee of the House of Delegates. Each Officer is considered a “Delegate-at-large” and may vote on matters before the House of Delegates.
- (b) The Executive Committee shall exercise all the rights, powers, and responsibilities vested in the House of Delegates pursuant to Article IV hereof between its meetings.

Section 2: Responsibilities of Officers

- (a) President

The President shall be the chief elected Officer of the Union and shall be charged with carrying out the directives and policies of the Union. The President shall preside at all meetings of the membership of the House of Delegates and Executive Committee of the Doctors Council and may, whenever necessary, call special meetings. The President shall have the power of appointment of committees, and shall serve *ex officio* on all committees of Doctors Council, and shall have such other powers and perform such duties as the House of Delegates may determine.

- (b) Executive Vice President

The Executive Vice President will have such duties and responsibilities as may be reasonably assigned by the President. In the absence or upon the designation of the President, the Executive Vice President shall perform the duties of the office of the

President including but not limited to serving *ex officio* on all committees of Doctors Council.

(c) Area Vice Presidents

1. Area Vice Presidents, in addition to representing the interests of their respective Areas in deliberations with the Executive Committee and the House of Delegates, shall have such duties and responsibilities as may be reasonably assigned by the President, including but not limited to serving on Committees. There shall be such number of Area Vice Presidents as set forth below in Article VI.

(d) Secretary

The Secretary shall be responsible for the preparation, distribution and maintenance of the minutes of the meetings of the House of Delegates; Executive Committee and membership. The Secretary shall also provide reasonable notice of all meetings of the House of Delegates, Executive Committee and membership.

(e) Treasurer

The Treasurer shall be responsible for the collection and payment of all of the monies of Doctors Council from or to all persons from or to whom they shall be due or payable and shall be responsible for the custody of the funds of Doctors Council, subject to the direction and control of the House of Delegates. They shall be further responsible to maintain a correct and accurate account of all monies received and disbursed, and of the financial condition of Doctors Council, and shall, upon the request of the House of Delegates, submit a statement of the financial condition of Doctors Council; his or her books and records being at all reasonable

times open and accessible to inspection and audit by the House of Delegates or by such person or persons as it may designate. The Treasurer shall also be responsible for obtaining at the close of each fiscal year an annual, certified financial report from the certified public accountant of Doctors Council, which shall be distributed to the membership.

(f) Term of Office

Each Officer will be elected to serve a four (4) year term, their term beginning with the June meeting of House of Delegates in the year of the election.

ARTICLE VI (6): ELECTION OF OFFICERS & DELEGATES; ELECTION PROTESTS

Section 1: Committee on Representation and Elections

- (a) The President shall maintain a standing Representation and Election Committee consisting of no more than five (5) Officers/Delegates, with two (2) alternates. The Committee shall be empowered to carry out the following responsibilities, subject to final approval by two-thirds (2/3) majority vote of the House of Delegates:
1. Determining of the number of Delegates to be elected from each Representational Unit, based on the census data from December 31 of the year preceding the election indicating the number of members employed at each Representational Unit;
 2. Assigning bargaining units with less than ten (10) bargaining unit members to other Representational Units, where appropriate, taking into consideration the community of interests and proximity of the members affected as well as operational efficiency for the Union, among other considerations;
 3. Establishing appropriate rules and procedures for nominations and secret ballot elections of Delegates and Officers;
 4. Determining of the placement of newly-organized units within a geographic Area for the purposes of representation by an Area Vice President;
 5. Adding, removing, dividing, and/or redistributing geographic Areas and Area Vice Presidents in response to significant changes in Doctors Council membership, including but not limited to the addition of newly-organized units, in accordance with the considerations set forth in this Article.

6. Determining the eligibility of members to run for a Delegate or Officer seat and/or to sign a nominating petition or vote and considering election protests.

Section 2: Eligibility

(a) Eligibility to Nominate and Vote

All active members in good standing are eligible to nominate candidates for Delegate and to vote in Doctors Council elections.

(b) Eligibility to Run for and hold Officer and Delegate Positions

1. Officers

i. Good Standing

- a. To be eligible to serve as an Officer, a member must be an active member in good standing as defined in Article III(3) for at least twelve (12) months prior to the date of their nomination. The Committee on Representation and Elections will waive this requirement for Area Vice Presidents in any Area(s) which may be added to Doctors Council within the twelve (12) month period preceding an Officer election.

- b. If an active member in good standing is in arrears with regards to dues or any other payment due to the Union, the member must be paid up by April 1 of the election year in order to be eligible to nominate and vote.

- ii. No person who has been convicted of a felony as defined in Section 504 of the Landrum-Griffin Act shall, in accordance with the provisions of applicable law, be eligible to hold office in this Union.

2. Delegates

i. Good Standing

- a. To be eligible to serve as a Delegate, a member must be an active member in good standing as defined in Article III (3) for at least six (6) months prior to the date of their nomination. The Committee on Representation and Elections will waive this requirement for any Area(s) which may be added to Doctors Council within the six (6) month period preceding a Delegate election.

Section 3: Nominations

(a) Nominating Petition

1. Delegates

Subject to the eligibility requirements set forth above, a member may nominate themselves to be a candidate for Delegate by obtaining the signatures of ten percent (10%) or least five (5) Doctors Council members in good standing from the Representational Unit they seek to represent, whichever is fewer, on an official Doctors Council nominating petition. The nominee must submit the completed nominating petition to the Committee on Representation and Elections by no later than 11:59 p.m. ET on the final date of the nominating period. Only members in

good standing from the nominee's Representational Unit shall be eligible to nominate and vote for each Delegate.

2. Officers

- i. Subject to the eligibility requirements set forth above, a member may nominate themselves to be a candidate for Officer by obtaining the signatures of at least twenty-five (25) Doctors Council members in good standing from any Representational Unit on an official Doctors Council nominating petition, including at least one signature from an active member in good standing from an Area other than the Area of the nominee. All members in good standing shall be eligible to nominate and vote for Officers, except for Area Vice Presidents as set forth below.
- ii. Area Vice Presidents, however, must obtain twenty-five (25) signatures from members in good standing within the Area they seek to represent. Only members in good standing from the nominee's Area shall be eligible to nominate and vote for each Area Vice President.
- iii. Nominees must submit the completed nominating petition to the Committee on Representation and Elections by no later than 11:59 p.m. ET on the final date of the nominating period.
- iv. No individual may be a candidate for more than one office, provided that a member running for an Officer position may simultaneously

run for a seat in the House of Delegate and, if elected to both, must resign their seat in the House of Delegates.

Section 4: Election of Officers and Delegates

Delegate and Officer elections shall be held by secret ballot conducted by a third-party vendor in accordance with the rules and procedures established by the Committee on Representation and Elections and in accordance with applicable law.

Section 5: Determining the Number and Distribution of Delegates

(a) Number of Delegates

The size of the House of Delegates shall vary based on the number of Doctors Council Members, as determined by a census of the membership taken on December 31 of the year prior to a Delegate election.

1. For a membership of 3,999 or fewer members, there will be eighty (80) Delegates in the House (exclusive of Officers).
2. For a membership of 4,000 to 4,999 members, there will be eighty-five (85) Delegates in the House (exclusive of Officers).
3. For a membership of 5,000 to 5,999 members, there will be ninety (90) Delegates in the House (exclusive of Officers), and five (5) Delegates will be added to the House for each additional 1,000 members thereafter, with a maximum limit of 160 Delegates. *See Appendix A* for an illustrative chart.

(b) Apportionment of Delegates

The Committee of Representation and Elections shall apportion Delegates to each Representational Unit based on the following considerations:

1. Each Representational Unit will be apportioned one initial Delegate.
2. The remaining Delegates up to the maximum number of Delegates will be apportioned to each Representational Unit proportionate to each Representational Unit's percentage of the total membership, rounding up or down to the nearest whole number.
 - i. Example: If there are 7,000 members in Doctors Council across fifty (50) Representational Units, the number of Delegates in the House will be one hundred (100), and each of the fifty (50) Representational Units will be apportioned one (1) initial Delegate. The remaining fifty (50) Delegates will be divided among the Representational Units based on the population of each Representational Unit. A Representational Unit with 600 members constitutes approximately 8.57% of the total membership. $8.57\% \text{ of } 50 \text{ is } 4.3$, and rounding to the nearest whole number, that Representational Unit would be entitled to four (4) additional Delegates.
3. After calculating the number of additional Delegates to which each Representational Unit is entitled based on the formula above, the Committee on Representation and Elections shall review the distribution of Delegates, and shall be permitted to make reasonable adjustments to ensure that all available Delegate seats have been appropriately apportioned, taking

into consideration such factors as equality across Representational Units, historical representation, representational need, and other similar considerations.

4. Additional Delegates beyond the maximum contemplated number based on census membership may be temporarily added to the House as a result of the addition of newly-organized Representational Units to the Union in between Delegate Elections. The number of Delegates in the House will be recalculated in advance of each regular Delegate Election, which may result in the addition or subtraction of Delegates from a given Representational Unit.

Section 6: Area Vice Presidents

- (a) The Committee on Representation and Elections shall be responsible for determining the number and coverage of geographic Areas represented by Area Vice Presidents, subject to approval by the House of Delegates.
- (b) There are two established geographic Areas at the time of the adoption of this Constitution and Bylaws:
 1. New York/New Jersey/Pennsylvania; and
 2. Illinois/Ohio.
- (c) The following Areas may be added without amendment to this Constitution and Bylaws when appropriate as recommended by the Committee on Representation and Elections and approved by the House of Delegates, subject to the considerations in sections (d)-(f) below:

1. California
 2. Delaware
 3. Massachusetts
 4. Michigan/Wisconsin
 5. Minnesota
- (d) Should a newly-organized unit of **300 unit members or more** ratify a first contract within a geographic location which is not represented by an Area Vice President, the President shall within thirty days of such ratification convene the Representation and Election Committee for the purpose of determining how to ensure representation of that unit by an Area Vice President through either 1) the creation of a new Area and a new Vice President seat or 2) the incorporation of the newly-organized unit into an existing Area, taking into consideration the size of the unit, potential future organizing targets in the same or surrounding Areas, the community of interests between the units/Areas, as well as operational efficiency for the Union, among other appropriate considerations.
- (e) Should a newly-organized unit of ***fewer than 300 unit members*** ratify a first contract within a geographic location which is not represented by an Area Vice President, the President shall within thirty days of such ratification convene the Representation and Election Committee for the purpose of determining which existing Area will include the newly-organized unit for purposes of representation by a Vice President, taking into consideration the size of the unit, potential future organizing targets in the same or surrounding Areas, the community of interests

between the units/Areas, as well as operational efficiency for the Union, among other appropriate considerations.

- (f) In the event that an Area covers 5,000 or more members, and/or if newly-organized units would result in more than a total of ten (10) Area Vice Presidents, the President shall convene the Representation and Election Committee for the purpose of evaluating and, if appropriate, adding, removing, dividing, and/or redistributing Areas and/or Vice Presidents based on considerations including but not limited to historical representation, projected growth, community of interest, and executive/organizational efficiency.

Section 7: Election Protests

- (a) Eligibility Protest

Any active member in good standing may challenge the eligibility of a candidate for office in accordance with the nominations and election policies and procedures established by the Committee on Representation and Elections.

- (b) Post-Election Protest

1. Any post-election protest alleging a violation of the nomination and election policies and procedures established by the Committee on Representation and Elections, the Doctors Council Constitution and Bylaws, or applicable law, shall be made in writing and sent by email to the designated Doctors Council staff member within fourteen (14) days of the ballot count. All protests filed after this date shall be deemed waived.

2. The protest must set forth the exact nature and specification of the alleged violation and a description of how it impacted the outcome of the election.
 3. The protester shall have the burden of establishing a violation and its impact on the election.
- (c) The Committee on Representation and Elections shall render a written decision on all election protests as promptly as possible, but in no event more than forty-five (45) days following the date of the election
- (d) The decision of the Committee on Representation and Elections shall be final and binding, except that members may utilize the appeals process set forth in the SEIU International Constitution and Bylaws. Any review by the International Union shall be limited to ensuring that members were afforded due process under the applicable provisions of the SEIU International Constitution and Bylaws.

ARTICLE VII (7): REMOVAL OF OFFICERS & DELEGATES; FILLING VACANCIES

Section 1: Recall and Removal of Delegates and Officers for Serious Misconduct

(a) Petition for Removal

A petition seeking removal of a Delegate or Officer for serious misconduct may be filed with a designated Doctors Council staff member by ten percent (10%) of the active members in good standing within the unit represented by that Delegate or Officer. The petition must be accompanied by written charges describing the serious misconduct, not to exceed 500 words. Any member of the House of Delegates may also seek the removal of a Delegate by filing charges alleging serious misconduct. The designated Doctors Council staff member shall provide a written copy of the charges to the Delegate in question.

(b) A hearing committee appointed by the House of Delegates shall investigate the charges and may dismiss them if they lack substantial merit or evidence in support. If the charges are not dismissed, the hearing committee shall set a hearing date and give the Delegate at least fifteen (15) days' written notice of the date, time, and place of the hearing. The hearing shall be held before the hearing committee. The Delegate charged, as well as the House member designated to prosecute the charges, shall have a right to be represented at the hearing by an active member in good standing.

(c) The hearing committee appointed by the House shall issue a written decision following the hearing. A hearing committee's decision to remove a Delegate shall be considered a recommendation to the House of Delegates. The Delegate charged may submit a written appeal to the House of Delegates to overturn the decision of

the hearing committee. A two-thirds ($\frac{2}{3}$) vote of the House members voting by secret ballot shall be required to remove the House member in question. The decision of the House of Delegates shall be final and binding, except that members may utilize the appeals process set forth in the SEIU International Constitution and Bylaws. Any review by the International Union shall be limited to ensuring that members were afforded due process under the applicable provisions of the SEIU International Constitution and Bylaws.

- (d) Upon at least fourteen (14) days' notice to the affected member, the House of Delegates may order the removal, without the necessity of a hearing, of any member of the House who has failed, without adequate justification, to attend three (3) consecutive, regular House of Delegates meetings. A two-thirds ($\frac{2}{3}$) vote of the House members voting shall be necessary to effectuate such removal.

Section 2: Vacancies

- (a) A permanent vacancy shall occur upon the resignation, death, or removal of a Delegate or Officer, or when a Delegate or Officer fails to maintain their good standing status and/or other eligibility requirements in accordance with Article III, Section 3.

1. Delegates

A permanent vacancy in a Delegate seat shall be filled by the House of Delegates at the next regular meeting of the House of Delegates meeting following notification to the House regarding the vacancy. The member selected to hold office

shall serve until the next election of the House of Delegates, at which time a permanent replacement shall be elected.

2. Officers

A permanent vacancy in an Officer seat shall be filled by the House of Delegates by secret ballot election no later than sixty days following notification to the House regarding the vacancy. The Delegate selected to hold Office shall serve on an interim basis until the next regular Officer election, at which time a permanent replacement shall be elected.

ARTICLE VIII (8): MEMBERSHIP MEETINGS

Section 1: There shall be one (1) regular membership meeting each year, convened upon at least two weeks' prior written notice to the membership.

Section 2: Special membership meetings may be called by the President; by a majority vote of the House of Delegates; or by a petition signed by five (5%) percent of the membership.

Section 3: The membership may direct the action of the House of Delegates on any item by resolution moved and enacted from the floor.

Section 4: Eight (8%) percent of the membership shall constitute a quorum at any membership meeting.

Section 5: All membership meetings may be conducted virtually.

ARTICLE IX (9): RULES OF ORDER (ROBERT'S)

Except where otherwise herein indicated, the business of Doctors Council and its membership and Delegate bodies shall be conducted in accordance with Robert's Rules of Order, as revised.

ARTICLE X (10): RATIFYING COLLECTIVE BARGAINING AGREEMENTS

Any collective bargaining agreement negotiated by Doctors Council shall be subject to ratification by the membership covered by the Agreement, and approval by the House of Delegates. In the event that less than eight (8%) percent of the membership covered by the proposed contract participates in the vote for ratification of the agreement, the House of Delegates shall have full and final authority to ratify such agreement.

ARTICLE XI (11): FINANCES

Section 1: All monies and other valuable effects of Doctors Council shall be deposited in the name of and to the credit of the Doctors Council in such banks and depositories as may be designated by the House of Delegates.

Section 2: All checks on any bank or depository shall be paid in the name of Doctors Council and checks shall be signed by such officers or persons who may be designated from time to time by the House of Delegates.

Section 3: Doctors Councils fiscal year shall be July 1-June 30. Prior to the commencement of each fiscal year, the Executive Committee shall prepare and present to the House of Delegates for its approval a proposed, annual budget.

Section 4: In the event the dissolution of the Doctors Council and the abandonment of its purposes hereunder, the assets of the Doctors Council shall be liquidated as promptly as possible and the cash proceeds thereof shall be applied as follows in the following order of priority:

- (a) To the payment of debts, obligations and liabilities and the necessary expenses of liquidation. Where there is a contingent debt, obligation or liability, reserves shall be set up to meet the same, and if and when such contingency shall cease to exist, the monies, if any, in said reserve shall be distributed as hereinafter provided.
- (b) To each eligible member in good standing on a pro rata basis according to the respective term during which they paid dues and/or agency fees to Doctors Council and the amount of dues or fees paid during such period.

ARTICLE XII (12): DUES AND ASSESSMENTS

Section 1: Dues and special assessments to be paid to the organization by the members shall be fixed as hereinafter provided. Such dues and special assessments shall be collected by such means and persons as designated by the House of Delegates and shall be turned over to the Treasurer for deposit to the account of the Doctors Council.

Section 2: Dues and special assessments shall be fixed by action of the House of Delegates, subject to approval of the membership by majority vote. The Secretary shall provide at least thirty-days' prior written notice of such vote, including notice of the proposed imposition or modification of any dues or special assessments. In the event that less than eight percent (8%) of the membership participates in the vote, the House of Delegates may thereafter finally impose or modify, consistent with the proposal submitted to the membership, any dues or special assessments at its next meeting.

ARTICLE XIII (13): DISCIPLINE OF MEMBERS

Section 1: Basis for Discipline.

In accordance with Article XVII of the SEIU International Constitution, Doctors Council members may be charged and disciplined for violations of any specific provision of the International Constitution or of the Constitution and Bylaws of the Doctors Council.

Section 2: Charges and Hearing.

- (a) Charges against any member or officer of Doctors Council shall be filed in duplicate with the Secretary, who shall serve a copy thereof on the accused either electronically or by certified mail, directed to the last known email/physical address of the accused, at least ten (10) days before the hearing upon the charges. The charges must specify the events or acts which the charging party believes constitute a basis for charges and must state which subsection(s) of Section 1 of this Article the charging party believes has been violated. If the charges are not specific, the trial body may dismiss the charges either before or at the hearing, but the charging party shall have the right to refile more detailed charges which comply with this Section. No charges may be filed more than six months after the charging party learned, or could have reasonably learned, of the act or acts which are the bases of the charges.
- (b) The House of Delegates shall appoint the trial body. The accused may appear in person and with witnesses to answer the charges against them and shall be afforded a full and fair hearing. Both the accused and the charging parties may have an active member in good standing to assist them. Unless the trial body determines that

special circumstances warrant it, neither party may have counsel present at the hearing.

- (c) If the charges, or any portion thereof, are sustained, then the trial body shall render judgment and impose disciplinary action as provided for in this International Constitution. If the charges are not sustained, the same shall be dismissed and the accused restored to full rights of membership or office.

Section 3: Appeals

- (a) Either party may appeal in writing the decision of the trial body to the House of Delegates within thirty (30) calendar days from the date of the decision.
- (b) The House of Delegates, or a Disciplinary Appeals Committee appointed by the House, will review the trial body determination and may uphold, dismiss, or modify the trial body's decision. The decision of the House of Delegates/Disciplinary Appeals Committee shall be final and binding, except that members may utilize the appeals process set forth in the SEIU International Constitution and Bylaws. Any review by the International Union shall be limited to ensuring that members were afforded due process under the applicable provisions of the SEIU International Constitution and Bylaws.

ARTICLE XIV (14): EXHAUSTION OF INTERNAL UNION REMEDIES

Subject to the provisions of applicable statutes, every member or Officer against whom charges have been preferred and disciplinary action taken as a result thereof, or who claims to be aggrieved as a result of adverse rulings or decisions rendered, agrees, as a condition of membership and the continuation of membership, to exhaust all remedies provided for in these Bylaws and the Constitution and Bylaws of the International Union, and further agrees not to file or prosecute any action in any court, tribunal or other agency until those remedies have been exhausted.

ARTICLE XV (15): BENEFIT AND WELFARE FUND TRUSTEES

The House of Delegates will designate the Union trustees of the various benefit and welfare funds as needed.

ARTICLE XVI (16): AMENDING THE CONSTITUTION

Section 1: Any amendments hereof shall be initiated by submission to the House of Delegates of a proposition in writing signed by one-third (1/3) of the House of Delegates or by five (5%) percent of the membership. Any proposed amendment initiated by one-third (1/3) of the House of Delegates must be first approved by majority vote of the House of Delegates. Any proposed amendment initiated by five (5%) percent of the membership, and any proposed amendment approved by the House of Delegates, shall be referred to the membership for a vote. The Secretary shall provide written notice to the membership of the proposed amendment(s) at least fourteen (14) days before the vote. Two-thirds (2/3) of the votes cast by the membership shall be necessary for the adoption of the amendment, unless less than eight (8) percent of the membership participates in the vote, in which case, the proposed amendment shall become effective upon approval by two-thirds (2/3) majority vote of the House of Delegates at its next regular meeting.

Section 2:

This Constitution and Bylaws is subordinate to the Constitution and Bylaws of the International Union as it may be amended from time to time. If any conflict should arise between this Constitution and Bylaws or any amendments thereto, and the Constitution and Bylaws of the International Union as it may be amended from time to time, the provisions of the Constitution and Bylaws of the International Union shall govern.

APPENDIX A: SIZE OF HOUSE OF DELEGATES BASED ON MEMBERSHIP

Number of Members	Number of Delegates
Up to 3999 members	80
4000- 4999 members	85
5000-5999 members	90
6000-6999 members	95
7000-7999 members	100
8000-8999 members	105
9000-9999 members	110
10,000-10,999 members	115
Etc.	Etc. up to 160

APPENDIX B: SEIU CODE OF ETHICS AND CONFLICT OF INTEREST POLICY

(See attached)

THIS UNION

SEIU

SEIU 2024 Code of Ethics

AS ADOPTED at the 2024 Convention



Service Employees International Union, SOC, CLC

APPENDIX C: SEIU CODE OF ETHICS AND CONFLICT OF INTEREST POLICY

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

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

Approved by the SEIU International Executive Board as revised, May 22, 2024

PART A: PREAMBLE

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.

Duty to members

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

Accountability

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.

*Member
protections,
responsibilities*

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.

*Other sources
of authority*

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

*Ethical breaches
outside Code*

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.”

*Applicability,
International
Union*

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.”

*Applicability,
Affiliates*

(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.

*Affiliate
responsibilities*

(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

*Covered
individuals,
obligations*

<i>Annual acknowledgment</i>	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.
<i>Duty of disclosure</i>	(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.
<i>Conflict of interest, definition</i>	
<i>Disqualification from service</i>	(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

Protection of member funds **Section 4.** General Duty to Protect Members' Funds; Members' Right to Examine Records.

- Fiduciary duty* **(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.
- Examination of records* **(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.

Financial Interests and Transactions

- (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.

Substantial ownership or financial interest, definition

- (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:

Prohibitions

- (1) Knowingly have a substantial ownership or financial interest in any entity that engages in collective bargaining with SEIU or any of its Affiliates;

Employers

- (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 their relative, spouse or business partner has a substantial ownership or financial interest; or

Vendors

- (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-

Self-dealing

Treasurer, as applicable), obtained after full disclosure, including an independent appraisal of the fair market value of the property to be bought or sold.

Disclosure

- (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.

Payments and gifts

Section 6. Payments and Gifts from Employers, Vendors and Members.

Prohibitions, exceptions

- (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.

Regular employment

- (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.

Payment for services

- (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.

Public policy events

- (3)** This Section does not extend to participation in events hosted by public officials involving discussion of public policy matters.

Perishable items

- (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.

Recommendation to notify giver

- (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.

Ethics, payments and gifts

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.

Conversion prohibited

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.

Third parties

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.

Loans prohibited

PART D: BENEFIT FUNDS AND RELATED ORGANIZATIONS

Section 10. Obligations of Covered Individuals.

(a) Benefit Funds.

Benefit Funds

(1) For purposes of this Section:

Definition

- 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:

Fund fiduciaries, prohibitions

- 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

Interests and personal ties

Personal payment

*Compensation,
exclusions*

- 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.

Disclosure

- (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.

Disqualification

- (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.*Related
organizations
definition*

- (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.

*Duties of covered
individuals*

- (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.

*Family and
Personal
Relationships*

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.

Purpose of rules

Section 12. Definitions. For purposes of this part:

- (a) “Relative” means parent, spouse, spousal equivalent, child, grandparent, grandchild, sibling, 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.”

*Ethics,
Relationships,
Family and
Personal*

Section 13. Prohibited Conduct. The following general principles will apply:

*Prohibited
conduct*

*Application
process*

(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.

*Hiring
decisions*

(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.

*Supervisory
relationship
prohibited*

(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.

*Work-related
decisions*

(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.

Disclosure

(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.

Enforcement

PART F: ENFORCEMENT

Ethics Officer

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 their 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.

Review or advice

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 they believe 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.

*Ethics
Ombudsperson*

Annual report

Periodic reviews

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.

Ethics Liaison

- (a)** Presidents, chief executive officers, secretary-treasurers, chief financial officers, chiefs of staff, and the equivalent of any of

Eligibility

the foregoing are not eligible to serve as Ethics Liaisons.

Rotation

- (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.

Training

- (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.

Complaints

Section 17. Complaints.

Submission

- (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.

*Enforcement
under
constitution*

*Contact
information*

- (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.

*Complaint
handling,
International*

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 their 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.

*Complaint
handling,
Affiliates*

*Notice to
Ombudsperson*

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.

*Failure to
cooperate*

Bad faith

Section 21. Original Jurisdiction.

*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 their discretion assume original jurisdiction of formal internal Union charges also alleging violation of this Code if as a result of an investigation they believe 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 their discretion, the International President may

*Request by
Affiliate*

*Assumption
of jurisdiction*

refer the matter to the Ethics Officer for a recommendation concerning the possible assumption of original jurisdiction.

*Referral of
hybrid charges*

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.

*Ethics Officer,
possible
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, they 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, they shall advise the International Union of their findings.

No merit

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.

Confidentiality

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.

*Retaliation
prohibited*

- (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.

*Against
Ethics
Liaisons*

Reporting

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**THIS
UNION**

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**我们的
工会**

**CE
SYNDICAT**

**ЭТО —
ПРОФСОЮЗ**



Service Employees International Union, SOC, CLC