

CENTRAL STATES WATER ENVIRONMENT ASSOCIATION

MEMBER CODE OF CONDUCT

The Central States Water Environment Association (CSWEA, or Association) is committed to providing a professional, safe, and welcoming environment for all members and expects members to uphold CSWEA's commitment to providing and supporting a positive environment for all CSWEA members and others affiliated with CSWEA.

CSWEA's Member Code of Conduct ("CSWEA Code") is intended to provide CSWEA-only members, as defined under the CSWEA Bylaws, with a set of best practices and guidelines on standards of conduct to which members agree they will adhere when joining and maintaining their CSWEA membership. This CSWEA Code applies to any conduct and communication of a member involving other CSWEA members, staff, contractors, or non-member participants of the CSWEA (collectively "CSWEA Participants") in connection with or resulting from any CSWEA-related business, activity, or at CSWEA Functions, as defined below. Note that CSWEA members who are also members of the Water Environment Federation ("WEF") are covered by the separate WEF member Code of Conduct.

All conduct and all communications arising out of or resulting from CSWEA business or activities that are related to the CSWEA or to CSWEA members, including but not limited to conduct and communications at CSWEA and its State Section functions, or CSWEA-affiliated functions, or member representation of the CSWEA at a non-CSWEA function or in CSWEA business (collectively referred to as "CSWEA Functions"), are expected to be in accordance with this CSWEA Code.

Further, CSWEA may establish a code of conduct for specific CSWEA Functions that may apply to a broader group in attendance at the specific function. CSWEA members attending such specific functions must follow that specifically applicable CSWEA function's code of conduct, related terms, and conditions, as well as this CSWEA Code.

The CSWEA Code governs conduct of CSWEA members and will be enforced by CSWEA. As such, this CSWEA Code does not give rise to a legal cause of action, create a presumption, or serve as evidence that a legal duty has been breached, or form the basis for governmental enforcement proceedings.

WEF and CSWEA Code of Conduct Interactions

To the degree that membership in WEF is required or desired for a CSWEA member, the WEF Member Code of Conduct ("WEF Code") extends to the CSWEA membership and its programs and activities, in addition to any additional code of conduct adopted by CSWEA. Complaints submitted to WEF, and actions to address WEF member misconduct issues occurring at any WEF Functions, as defined in the WEF Code (and inclusive of WEF member participation in CSWEA functions), are under the jurisdiction of WEF. When multiple codes of conduct exist, the WEF Code will be primary for the WEF member and will take precedence for decisions affecting WEF membership followed by other codes that may apply to the member. WEF will communicate information on complaints of WEF member misconduct to CSWEA or any affected Member Association (MA), as appropriate, and discuss impacts to CSWEA or other MA, if any. CSWEA will also notify the WEF Executive Director of any misconduct concerns or related actions being contemplated at the CSWEA level for a WEF member. WEF's Member Code of Conduct, associated forms and related policies can be found at: <https://www.wef.org/about/about-wef/wef-policies/>.

CSWEA-Only members are not WEF members; therefore, they are subject to CSWEA's Member Code of Conduct ("CSWEA Code"), or to any CSWEA rules of conduct outlined in the CSWEA governing documents. CSWEA will handle any misconduct issues with CSWEA-only members independently from WEF using its own disciplinary procedures/processes and forms.

Expectations of CSWEA-Only Members

As a condition of membership, CSWEA expects members to demonstrate their commitment to core values by conducting themselves consistent with the following principles, including but not limited to exhibiting common courtesy and civility; acting in a businesslike, ethical, and professional manner; supporting diversity, equity and inclusion; and refraining from discriminatory or harassing behavior directed toward any CSWEA Participants as defined earlier in this CSWEA Code.

Misconduct

CSWEA identifies types of misconduct and makes determinations on whether a member engaged in misconduct. This CSWEA Code applies to conduct while an individual is a CSWEA member and addresses misconduct in three general areas: Personal Misconduct, Professional Misconduct, and Legal Misconduct. The examples set forth below are representative of misconduct in these areas; however, misconduct is not limited to these examples.

Personal Misconduct

- Threatening (physically and/or verbally), engaging in demeaning gestures and/or language, stalking, physically or verbally abusing, or using combative language toward any CSWEA Participants (as defined earlier in this CSWEA Code) in any communications including but not limited to those communications arising out of, or related to, any CSWEA business or activity or at any CSWEA Function as defined earlier in this CSWEA Code. This applies to contact in person, by email, telephone, social media, or any other media regardless of whether the contact occurs at CSWEA Functions or the subject matter relates to CSWEA.
- Harassing or discriminating against any individual, including but not limited to making negative comments, insults, offensive jokes, using ridicule or mockery, slurs or name calling, or making physical assaults or threats, or otherwise exhibiting prejudice on the basis of that person's race, color, sex, pregnancy/maternity or related medical conditions, gender identity/expression, sexual orientation, religion, age, ethnic or national origin, ancestry, citizenship, marital or family status, disability or perceived disability status, genetic information, veteran status, or any other legally protected characteristics in accordance with applicable law.
- Endangering the health or safety of others, including but not limited to the brandishing of firearms, explosives, chemicals, or other weapons or the threat (substantiated or implied) of using such weapons, tampering with safety systems (such as fire-fighting equipment), turning in a false alarm, or engaging in behavior that constitutes a fire hazard at CSWEA Functions.
- Subjecting another person to physical conduct (except self-defensive conduct) or sexual attention which that person perceives as offensive or unwelcome.

- Engaging in lewd, indecent, disruptive, or disorderly conduct (including such conduct which results from a member being under the influence of alcohol or drugs) at CSWEA Functions.
- Being arraigned, indicted, or convicted (by a judge, jury, or plea agreement) of a felony or a crime which is violent, dangerous to others, or is vile or depraved in nature arising out of the member's personal conduct.

Professional Misconduct

- Being arraigned, indicted, or convicted (by a judge, jury, or plea agreement) of a crime relating to or arising out of the member's professional/work conduct.
- Failing to keep secure or to properly use CSWEA confidential information and CSWEA member personal data which the member may have access to in connection with CSWEA activities.
- Showing unwelcome sexual attention, including inappropriate use of nudity and/or sexual images, in public spaces or presentations.
- Disrespecting other persons' views, including intentionally interrupting others while they are speaking, disrupting CSWEA Functions, and failing to comply with CSWEA Functions moderators.
- Failing to comply with any CSWEA policy which may be applicable to such member, including but not limited to the code of conduct, terms, and conditions which may apply to participation in specific CSWEA Functions.

Legal Misconduct

- Being arraigned, indicted, or convicted (by a judge, jury, or plea agreement) for violations of national, regional or local laws or regulations.
- Harassing or discriminating against any individual on the basis of that person's race, color, sex, pregnancy/maternity or related medical conditions, gender identity/expression, sexual orientation, religion, age, ethnic or national origin, ancestry, citizenship, marital or family status, disability or perceived disability status, genetic information, veteran status, or any other legally protected characteristics in accordance with applicable law.
- Violating national, regional, or local regulations regarding the purchase, possession, or consumption of alcoholic beverages, including the furnishing of alcoholic beverages to minors, at CSWEA Functions.
- Possessing, distributing, or selling illicit drugs, as may be prohibited by law, at CSWEA Functions, unless such drugs are permitted to be possessed in the locale of the CSWEA Function.
- Violating any statute, governmental regulation, or disciplinary action by any licensing or other authority, relating to, or arising out of, the member's work.
- Engaging in fraud, money laundering, misappropriation of CSWEA funds or other similar issues.
- Failing to comply with antitrust regulations in connection with CSWEA activities.
- Engaging in unauthorized use of tangible or intellectual property.
- Intentionally or recklessly defacing public or private property at CSWEA Functions.

Complaints

Any CSWEA Participant may bring a complaint against any CSWEA member if they believe, in good faith, that the member engaged in conduct in violation of the CSWEA Code. Anonymous complaints are not acceptable. Complaints must be submitted in writing to the Executive Director or to an Executive Committee member as provided in the CSWEA Membership Discipline Policy using the CSWEA Member Code of Conduct Complaint Form. The complainant's identity shall be kept confidential.

Instances of misconduct that require immediate attention during CSWEA Functions should be brought promptly to the attention of CSWEA senior management attending the CSWEA Functions.

Agreement

Application for, or renewal of, membership, signifies the individual accepts the following agreement that is applicable to their membership type:

WEF/CSWEA Membership Type

As a WEF member, I agree to abide by the WEF Member Code of Conduct ("WEF Code"). To the degree that membership in a Member Association (MA), including CSWEA, is required, the Code extends to that MA membership and its programs and activities, in addition to any code of conduct adopted by the MA. I understand that participation in WEF is a privilege and is not a right and that WEF may take disciplinary action against me pursuant to the WEF Member Discipline Policy for any violations of the WEF Code. I understand that membership may be revoked with just cause or other disciplinary action may be taken against me. I agree that my participation in WEF will be at my sole and exclusive risk, and I (and anyone claiming on my behalf) hold harmless WEF, its Trustees, and staff from any damages, claims, loss, and liability from my participation in any program, activity or WEF Functions.

CSWEA-Only Member Type

As a CSWEA-only member, I agree to abide by the CSWEA Member Code of Conduct ("CSWEA Code"). I understand that participation in CSWEA is a privilege and is not a right and that CSWEA may take disciplinary action against me pursuant to disciplinary processes or procedures for any violations of the CSWEA Code. I understand that membership may be revoked with just cause or other disciplinary action may be taken against me. I agree that my participation in CSWEA will be at my sole and exclusive risk, and I (and anyone claiming on my behalf) hold harmless CSWEA, its Executive Committee, and staff from any damages, claims, loss, and liability from my participation in any program, activity or CSWEA Functions.

CENTRAL STATES WATER ENVIRONMENT ASSOCIATION

MEMBER DISCIPLINE POLICY

A. General Policy Statement

Membership in CSWEA is a privilege and not a right. CSWEA is committed to providing a professional, safe, and welcoming environment for all members.

Members of CSWEA who are also members of WEF are subject to the WEF Member Code of Conduct (“WEF Code”) and are subject to the WEF Member Discipline Policy for violations of the “WEF Code”. Detailed information is included in the WEF Member Code of Conduct, WEF Member Discipline Policy, and related forms located at <https://www.wef.org/about/about-wef/wef-policies/>.

Members of CSWEA who are not members of WEF are subject to investigation and discipline under this policy if the member’s conduct conflicts with the CSWEA Member Code of Conduct (“CSWEA Code”), if one exists, or as is outlined in CSWEA’s governing documents. Violations which have not been addressed through WEF’s Code and/or disciplinary actions may be subject to discipline under this CSWEA policy. This CSWEA Discipline Policy solely governs disciplinary proceedings applicable to CSWEA-only members who are not also members of WEF.

This policy outlines CSWEA’s process for investigating and taking disciplinary action against a CSWEA member for violations of the CSWEA Code. The Executive Committee is the governing body of CSWEA and holds legal and fiduciary authority on behalf of CSWEA and its membership including the authority to discipline members, up to and including expulsion from CSWEA.

B. Member Discipline Procedure

If the individual accused of misconduct is a WEF member, please refer to WEF’s Member Code of Conduct (“Code”) and WEF’s Member Discipline Policy for guidance on submitting a Complaint to WEF and the steps that will be undertaken by WEF in an investigation. The procedures in the following paragraphs and sections outline CSWEA’s process for investigating and taking disciplinary action against a CSWEA member for violations of the CSWEA Member Code of Conduct (“CSWEA Code”) when this CSWEA member is a CSWEA-only member and is not a member of WEF.

Any person (“Complainant”) may bring a complaint against any CSWEA-Only member (“Respondent”) if they believe in good faith that the Respondent violated the CSWEA Code. Complaints must be in writing, submitted on a CSWEA Member Code of Conduct Complaint Form (“Complaint”), provide all facts upon which the complaint is based, provide any supporting documentation, and be delivered to an Executive Committee Member or the Executive Director by regular mail or email. The Executive Committee Member or the Executive Director will acknowledge receipt of the Complaint to the Complainant and may also alert WEF’s Executive Director, as appropriate, of the existence of a complaint, on a confidential basis, after first ensuring the WEF Executive Director does not have a conflict of interest in connection with the Complaint or, if so, to an alternate contact for WEF.

The Executive Committee Member or the Executive Director will share the Complaint with the Executive Committee on a confidential basis after first ensuring no Executive Committee member has a conflict of interest in connection with the Complaint. The Executive Committee will consider whether the Complaint is sufficient, and the alleged conduct is within the scope of the CSWEA Code. The Executive Committee may also provide a copy of the Complaint to CSWEA legal counsel for review. If the Complainant is a witness (third-party) to a violation of the CSWEA Code that occurred, the individual who was directly affected will be asked, but is not required, to participate in any needed investigation along with the Complainant.

If the Executive Committee determines that the conduct alleged is outside of the scope of the CSWEA Code, or that the Complaint is incomplete or insufficient, the Executive Committee will dismiss the Complaint and so notify Complainant providing enough detail about the reasons for dismissal to support the Complainant in preparing an amended Complaint, if desired. Complaints deemed by the Executive Committee to be incomplete or insufficient may be corrected and resubmitted by the Complainant.

If the Executive Committee determines that the Complaint is sufficient, and that the conduct falls within the scope of the CSWEA Code, the Executive Committee or the Executive Director will provide notification, in writing and marked "Personal and Confidential – To Be Opened Only by the Addressee", to the Respondent, including a copy of the Complaint, redacted as necessary to protect the identity of the Complainant, a copy of this Policy, a copy of the CSWEA Code, and all relevant facts and documents. Notification to the Respondent is sent in a manner that provides proof of delivery (such as certified mail or other similar signature required postal or delivery services) and records of delivery attempts. CSWEA shall make up to three (3) delivery attempts over a time period not to exceed three weeks. The Respondent has 30 days from their receipt of the notification, or if delivery is not accepted, from the final delivery attempt date, to submit a written response to the Executive Committee on the Complaint or to request an extension of time in which to respond; the response should be sent to the Executive Committee or Executive Director by email or by regular mail. The Executive Committee will acknowledge receipt of the Respondent's response.

Upon the Executive Committee's receipt of the Respondent's response or, if none, 31 days or more after the delivery of the Complaint notice or the final delivery attempt date of the notice, the Executive Committee will meet to review the Respondent's response (if any) and any additional information obtained. The Respondent will be invited to participate for up to a 30-minute portion of the meeting to present their viewpoint via a virtual/teleconference connection. The Executive Committee will then decide, by a majority vote, whether the Respondent violated the CSWEA Code. If the Executive Committee determines that the Respondent did not violate the CSWEA Code, the Complaint is dismissed, and the Respondent, WEF (if applicable), and the Complainant are notified in writing. If the Executive Committee determines that the Respondent violated the CSWEA Code, the Executive Committee decides by majority vote on the disciplinary action(s) against the Respondent.

If the Executive Committee, by a majority vote, decides to take disciplinary action(s) against the Respondent, the Respondent, the Complainant, and WEF (if applicable) are so notified by the Executive Committee or Executive Director. Notification to the Respondent is sent in a manner that provides proof of delivery (such as certified mail or other similar signature required postal or delivery services) and records of delivery attempts. CSWEA shall make up to three (3) delivery attempts over a time period not to exceed three weeks. The Respondent has 30 days from their receipt of the notification, or if delivery is not accepted, from the final delivery attempt date, to file an appeal ("Appeal"), or to request an extension of time in which to file an Appeal, by submitting the CSWEA's Member Code of Conduct Appeal Form. The Executive Committee or Executive Director will acknowledge receipt of the Respondent Appeal Form. Only the Respondent has the right to appeal the Executive Committee's decision. If an Appeal is not filed, or is not timely filed, the

Executive Committee's decision is final, and CSWEA implements the disciplinary actions against the Respondent.

If the Executive Committee, by a majority vote, decides not to take any disciplinary action, the Respondent, the Complainant, and WEF (if applicable) are so notified in writing by the Executive Committee or Executive Director.

Appeal Panel

If the Respondent's appeal is timely filed, an appeal panel ("Appeal Panel") will be appointed by the Executive Committee in consultation with the Executive Director. The Appeal Panel consists of one officer from each State Section after first ensuring no Appeal Panel member has a conflict of interest in connection with the Complaint. All members of the Appeal Panel, upon selection, are required to sign a confidentiality and non-disclosure agreement. The Appeal Panel is provided with the CSWEA Member Code of Conduct Appeal Form and all available information related to the Complaint as received by the Executive Committee. The Appeal Panel will review all information provided and the Executive Committee's decision.

Through the Executive Committee or Executive Director, Respondent is notified in writing of the opportunity to submit any additional information, and to request to present their response directly to the Appeal Panel via a virtual/teleconference meeting. Notification to the Respondent is marked "Personal and Confidential – To Be Opened Only by the Addressee," and sent in a manner that provides proof of delivery (such as certified mail or other similar signature required postal or delivery services) and records of delivery attempts. CSWEA shall make up to three (3) delivery attempts over a time period not to exceed three weeks. The Respondent has 30 days from their receipt of the notification, or if delivery is not accepted, from the final delivery attempt date, to submit any additional information or to request an audience with the Appeal Panel. Following review of information and the response from the Respondent, if any, and completion of any requested audience with the Respondent, the Appeal Panel decides, by majority vote, to confirm the Executive Committee's decision, or to modify the Executive Committee's decision and impose a lesser (not greater) disciplinary action.

Through the Executive Committee or the Executive Director, the Respondent, the Complainant, and WEF (if applicable) are notified in writing of the Appeal Panel's decision, and CSWEA implements the Executive Committee's disciplinary actions, if any, against the Respondent. Notification to the Respondent is marked "Personal and Confidential – To Be Opened Only by the Addressee" and sent in a manner that provides proof of delivery (such as certified mail or other similar signature required postal or delivery services) and records of delivery attempts. The decision of the Appeal Panel is final.

C. Disciplinary Actions

Should it be determined that there was a violation of the CSWEA Code, the Executive Committee can implement disciplinary actions against the Respondent including, but not limited to, any individual or combination of the following disciplinary actions:

a) Issue a Letter of Censure to Respondent. The Letter of Censure is a written reprimand that specifies the nature of Respondent's misconduct and informs the Respondent that further disciplinary action may be taken if misconduct is not corrected.

- b) Restrict or ban participation in CSWEA events and/or activities for a specified period. The period may be limited or unlimited in duration.
- c) Suspend or remove from CSWEA leadership positions, committees, or other workgroup/task forces/panels for a specified period. The period may be limited or unlimited in duration.
- d) Hold the Respondent personally liable for restitution if damage occurs due to the Respondent's action.
- e) Retract CSWEA awards, grants, or scholarships to the Respondent. The retraction of CSWEA awards, grants, or scholarships presented to Respondent will include termination of any funding commitments to the Respondent.
- f) Suspend Respondent's CSWEA membership for a specified period. Suspension may or may not include a requirement that the Respondent must apply to the Executive Committee for reinstatement of membership after the suspension period is over. The requirement to apply for reinstatement will be based on the Executive Committee's determination of the severity of Respondent's misconduct.
- g) Terminate CSWEA membership with no opportunity to reapply for membership.

CENTRAL STATES WATER ENVIRONMENT ASSOCIATION
MEMBER CODE OF CONDUCT COMPLAINT FORM

Instructions:

Members are expected to abide by the CSWEA Member Code of Conduct (“CSWEA Code”). If you believe that a member engaged in conduct that constituted a violation of the CSWEA Code, please review any available CSWEA disciplinary procedures, then complete and submit this form to a member of the Executive Committee or to the Executive Director or by regular mail along with any supporting documentation. The Executive Committee will acknowledge receipt of the Complaint to the Complainant. The Executive Committee will review the complaint pursuant to CSWEA disciplinary procedures.

Your Information (Complainant):

Name:

Mailing Address:

Email Address:

Phone Number:

If Complainant was a witness to the conduct but the conduct was directed toward another, provide name(s) of individual(s):

Information of CSWEA Member About Whom You are Submitting the Complaint (Respondent):

Name:

Mailing Address (If known):

Email Address (If known):

Phone Number (If known):

Check below any/all category areas of the CSWEA Member Code of Conduct you felt were compromised and provide further details of the specific complaint below.

- Personal Misconduct
- Professional Misconduct
- Legal Misconduct

Details of Complaint:

Details surrounding the alleged misconduct must be provided below and include, as applicable, witness information, CSWEA Policy violated, and any and all available documentation.

I hereby affirm that the information provided is, to my knowledge, true and accurate.

Signature

Date

For Complainants Residing in the United States:

STATE OF

COUNTY OF

Before me a Notary Public, in and for said county and state, personally appeared _____, who acknowledged the execution of the CSWEA Member Code of Conduct Complaint Form and, who, having been duly sworn, stated that the representations contained therein are true.

Witness my hand and notary seal this ___ day of _____, 20__.

Notary Public Name:

My County of Residence:

My Commission Expires:

For Complainants Residing Outside of the United States:

COUNTRY OF _____

Before me an International Notary, in and for said country, personally appeared _____, who acknowledged the execution of the CSWEA Member Code of Conduct Complaint Form and, who, having been duly sworn, stated that the representations contained therein are true.

Witness my hand and notary seal this ___ day of _____, 20__.

International Notary Name:

My Country of Residence:

My Commission Expires:

CENTRAL STATES WATER ENVIRONMENT ASSOCIATION
MEMBER CODE OF CONDUCT APPEAL FORM

Instructions:

Any CSWEA member (“Respondent”) found by the Executive Committee to have violated the CSWEA Member Code of Conduct (“CSWEA Code”), and for whom the Executive Committee decides to take disciplinary action(s) against the Respondent, may appeal the Executive Committee’s decision. Appeals (or a request for an extension of time to prepare one) must be filed, using this form within thirty (30) days of the Respondent’s receipt of written notice of the Executive Committee’s decision, or if delivery of the notice is not accepted, from the final delivery attempt date of the written notice. The Respondent must complete this form and submit it to the Executive Director by email or by regular mail. The Executive Committee will acknowledge receipt of a Respondent’s Appeal Form. The Appeal proceedings shall be conducted pursuant to the CSWEA Member Discipline Policy.

Respondent’s Information:

Name:

Mailing Address:

Email Address:

Phone Number:

Name of Complainant(s):

Complaint Description:

Disciplinary Action Taken or To Be Taken:

I am (Check one option and include any details):

Providing Basis for Appeal Response: Please provide information and details as to why you believe the Executive Committee's decision was incorrect or the disciplinary action(s) determined by the Executive Committee are not appropriate or justified. Attach additional sheets if needed.

Requesting additional time to prepare an Appeal Response. The amount of additional time requested is ___ days.

I hereby affirm that the information provided is, to my knowledge, true and accurate.

Signature

Date

CENTRAL STATES WATER ENVIRONMENT ASSOCIATION
EVENT REGISTRATION TERMS AND CONDITIONS

CODE OF CONDUCT

CSWEA is committed to providing a professional, safe, and welcoming environment during its in-person and virtual events for all water professionals and their guests. CSWEA expects all attendees, speakers, sponsors, media, and other participants to uphold our commitment to diversity and inclusion by helping us provide a positive conference environment for everyone. CSWEA has zero-tolerance for any form of discrimination or harassment, including but not limited to sexual or other harassment by participants or our staff at our meetings. CSWEA will take any action deemed necessary and appropriate, including immediate removal from the meeting without warning or refund, in response to any incident of unacceptable behavior, and CSWEA reserves the right to prohibit attendance at any future meeting, virtually or in person. If you experience harassment or hear of any incidents of unacceptable behavior, CSWEA asks that you immediately email an Executive Committee member or the Executive Director (see <http://cswea.org/about-us/executive-committee/> for member contact information). The full CSWEA Code of Conduct is posted at <http://cswea.org/>.

Unacceptable behavior is defined as:

- Negative comments about race/ethnicity, gender and gender identity, sexual orientation, disability, age, religion, physical appearance, citizenship, or other protected categories
- Unwelcome sexual attention, including inappropriate use of nudity and/or sexual images in public spaces or in presentations
- Threatening, stalking, or endangerment of others
- Any activity meant to cultivate hostility, ad hominem insults or other attacks

Furthermore, we do not tolerate the following:

- Disruption of presentations during sessions, exhibitions, or at other events organized by CSWEA throughout the meeting. All participants must comply with the instructions of the moderator and any CSWEA event staff.
- Presentations, postings, and messages should not contain promotional materials, special offers, job offers, product announcements, or solicitation for services. CSWEA reserves the right to remove such messages and potentially ban sources of those solicitations.
- Participants should not copy or take screen shots of any technical presentations, sponsor demonstration, Q&A or any chat room activity that takes place in a virtual meeting space.