

DHA ETHICS POLICY



DuPage
Housing Authority
Ethics Policy
Table of Contents

Section 1: Purpose	4
Section 2: General	4
Fiduciary Duty	4
Applicability	4
Code of Conduct	4
Section 3: Definitions	5
Definitions.....	5
Section 4: Code of Conduct Provisions	9
Duty to Report Corrupt or Unlawful Activity or Any Violation of DHA Policy.....	9
Protection from Retaliation.....	10
Improper Influence	11
Conflicts of Interest; Appearance of Impropriety.....	11
Interest in DHA Business	12
Representation of Other Persons	12
DHA-Owned Property.....	12
Use or Disclosure of Confidential Information	12
Solicitation or Receipt of Money for Advice or Assistance.....	13
Other Prohibited Conduct.....	13
Employment of Relatives	14
Political Activity.....	14
Solicitation or Acceptance of Political Contributions and Membership on Political Fundraising Committees.....	15
Post-Employment Restrictions.....	15
Outside Employment	15
Contract Inducements	16
Section 5: Gifts and Other Favors	16
Offering, Receiving and Soliciting Gifts or Favors.....	16
Section 6: Financial Disclosure	17
Statement of Financial Interests.....	17
Content of Statements.....	18
Form Statement of Financial Interests	19
Filing of Statements	20
Failure to File Statement by Deadline.....	20

DuPage
Housing Authority
Ethics Policy

Section 7: DHA Ethics Officer.....	21
Appointment of Ethics Officer	21
Powers and Duties	21
Actions on Complaints or Investigations	22
Confidentiality.....	24
Investigations by Other Agencies.....	25
Section 8: Penalties for Violation	23
Sanctions.....	23
Other Remedies and Policies	24

Section 1: PURPOSE

This Ethics Policy (Policy) is designed to ensure the highest ethical conduct by all DuPage Housing Authority Officers and employees and that they are, at all times, acting in the best interests of the DuPage Housing Authority (DHA). This Policy provides Officers and employees with guidelines to help them: understand potential ethical problems before they develop; prevent potential conflicts of interest; and recognize and avoid behaviors not compatible with their position of public trust.

Section 2. GENERAL

Fiduciary Duty

Officers and Employees owe an unwavering fiduciary duty to the DHA in the performance of their duties.

Applicability

This Policy applies to all DHA Officers and Employees, and by contract to certain DHA Contractors and Subcontractors. All Officers, Employees, and Contractors shall read the Policy, familiarize themselves with its contents, and agree to adhere to its provisions. Each Officer and Employee shall complete, on an annual basis, training designed to educate them of their duties and responsibilities under this Policy.

All DHA contracts shall include a provision requiring compliance with this Policy.

Any Officer, Employee, or Contractor who violates this Policy may be subject to sanctions, up to and including immediate removal from office, termination of employment, or cancellation of a contract and debarment from future contracts.

Code of Conduct

The Code of Conduct guides the conduct of every Officer and Employee of the DHA. The Code of Conduct is based upon certain values each Officer and Employee is expected to live by each day, including:

- We are public servants who must place loyalty to the DHA and the federal and Illinois constitutions, and laws above our private gain or interest.
- We will give a full day's work for a full day's pay and put forth honest effort in the performance of our duties.
- We will treat members of the public with respect and be responsive and

DuPage
Housing Authority
Ethics Policy

forthcoming in meeting their requests for information.

- We will act impartially in the performance of our duties, make no unauthorized promises purporting to bind the DHA, or engage in any business or financial transaction that is contrary to the interests of the DHA or outside of our duties and responsibilities.
- We will never use, for private gain, any nonpublic information obtained through the performance of DHA work.
- We will protect and conserve DHA property and resources using them only for authorized purposes or activities.
- Disclose waste, fraud, abuse, and corruption to the appropriate authorities.
- We will adhere to all applicable laws and regulations that provide equal opportunity for all persons regardless of race, color, religion, gender, national origin, age, sexual orientation, or disability.

Section 3. DEFINITIONS

For the purpose of this Policy:

- a. “Administrative action” means any decision on, or any proposal, consideration, enactment or making of any rule, regulation, or any other official non-ministerial action or non-action by any department, or by any Officer or Employee of any department, or any matter which is within the official jurisdiction of the Executive Director.
- b. “Board of Commissioners” means the governing body of the DHA which establishes, approves, and/or enacts policies for the DHA.
- c. “Business Relationship” means any association, agreement, or connection that creates a financial interest on the part of the Officer or Employee, or the spouse or domestic partner of the Officer or Employee.
- d. “DHA” means the DuPage Housing Authority.
- e. “Compensated time” means any time worked by or credited to an Employee that counts toward any minimum work time requirement imposed as a condition of employment with the DHA but does not include any designated DHA holidays or any period when the Officer or Employee is on an approved vacation or leave of absence.

DuPage
Housing Authority
Ethics Policy

- f. "Compensation" means money, anything of value, or other pecuniary benefit paid, or to be paid, in return for, or as reimbursement for, services rendered or to be rendered.
- g. "Contract management authority" means personal involvement in or direct supervisory responsibility for the formulation or execution of a DHA contract, including without limitation the preparation of the specifications, evaluation of bids or proposals, negotiation of contract terms, or supervision of performance.
- h. "Contractor" means any Person (including his agents or employees acting within the scope of their employment) who (1) is paid from DHA funds for services to the DHA in connection with a bid or contract with the DHA (or a subcontract under a DHA bid or contract), or (2) is doing business with the DHA.
- i. "Covered relative" means the spouse or domestic partner of an Officer or Employee, or a member of the immediate family and relatives residing in the same residence with an Officer or Employee.
- j. "Doing business" means any one or combination of sales, purchases, leases, or contracts or subcontracts for goods or services to, from, or with the DHA in an amount in excess of \$10,000.00 in any 12 consecutive months.
- k. "Employee" means a person hired by the DHA, whether part-time or full-time, but excludes paid and unpaid members of the Board of Commissioners and Contractors.
- l. "Ethics Officer" means the person responsible for monitoring and enforcing the DHA Ethics Policy.
- m. "Expenditure" means a payment, distribution, loan, advance, deposit, or gift of money or anything of value.
- n. "Financial interest" means any and all, partial or total, present or future right held by an Officer or Employee to some profit, distribution, or benefit that is valued at, or has an estimated value of, more than \$1,000.00, provided that such right shall not include:
- the authorized compensation paid to an Officer or Employee for any office or employment;
 - a time or demand deposit in a financial institution;
 - an endowment or insurance policy or annuity contract purchased from insurance company;

DuPage
Housing Authority
Ethics Policy

- any ownership through purchase at fair market value or inheritance of the shares of a mutual fund corporation, regardless of the value of or dividends on such shares, if such shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended.
 - any ownership through purchase at fair market value or inheritance of not more than \$15,000.00 worth of the shares of a corporation or any corporate subsidiary, parent or affiliate thereof regardless of the dividends on such shares if such shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended; or
 - any ownership by a current Officer or Employee through purchase at fair market value or inheritance of less than one percent of the shares of a corporation, or any corporate subsidiary, parent or affiliate thereof, regardless of the value or dividends on such shares, if such shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended, and if such ownership existed before the effective date of this Policy.
- o. “Gift” means the voluntary transfer of property from one person to another without fair-market-value consideration.
- p. “Immediate family” means spouse or domestic partner, child, mother, father, brother, or sister.
- q. “Instrument of ownership” means deeds, common or preferred stock certificates, rights, warrants, options, bills of sale, interests in proprietorships, partnerships, joint ventures, and beneficial interests in trusts and land trusts.
- r. “Officer” means any paid or unpaid member of the DHA Board of Commissioners. In the event any similar Resident or Participant advisory body adopts this Ethics Policy, “Officer” means any member of said advisory body.
- s. “Person” means any individual, entity, corporation, limited liability company, partnership, sole proprietorship, firm, association, union, trust, estate, as well as any parent, subsidiary, officer, agent, or employee of any of the foregoing, whether or not operated for profit.
- t. “Political Contribution” means any gift, subscription, loan, advance, deposit of money, allotment of money, or anything of value given or transferred by one person to another, including in cash, by check or draft, through a payroll deduction or allotment plan, by

DuPage
Housing Authority
Ethics Policy

pledge or promise, whether or not enforceable, or otherwise, for purposes of influencing in any way the outcome of any election. For the purposes of this definition, apolitical contribution does not include:

- A loan made at a market rate by a lender in the ordinary course of business;
 - The use of real or personal property and the cost of invitations, food, and beverages, voluntarily provided by an individual in rendering voluntary personal services on the individual's residential premises for candidate-related activities, provided the value of the service provided does not exceed an aggregate of \$150.00 in a reporting period; or
 - The sale of any food or beverage by a vendor for use in a candidate's campaign at a charge less than the normal comparable charge, if such charge is at least equal to the cost of such food or beverage to the vendor.
- u. "Political fundraising committee" means any fund, organization, political action committee or other entity that, for purposes of influencing in any way the outcome of any election, receives or expends money or anything of value or transfers money or anything of value to any other fund, political party, candidate, organization, political action committee, or other entity.
- v. "Political Activity" means any action, effort, or participation directed toward the success or failure of a political party, candidate for partisan political office, or partisan political group, including but not limited to:
- Preparing for, organizing, or participating in any partisan meeting, rally, demonstration, or other event.
 - Soliciting contributions, including but not limited to purchasing, selling, distributing, or receiving payment for tickets for any political fund-raiser, meeting, or other event.
 - Soliciting, planning the solicitation of, or preparing any document or report regarding anything of value intended as a campaign contribution.
 - Planning, conducting, or participating in a public opinion or voter outcome poll in connection with any candidate for partisan office or referendum question or on behalf of a partisan organization.
 - Assisting at the polls on election day on behalf of any political organization or candidate for elective office or for or against any referendum question.

DuPage
Housing Authority
Ethics Policy

- Soliciting votes on behalf of a candidate for elective office or a political organization or for or against any referendum question or helping to get voters to the polls.
 - Making contributions on behalf of any candidate for elective office in that capacity or in connection with a campaign for elective office.
 - Managing, working on, or providing any services for a campaign for elective office or for or against any referendum question.
 - Campaigning for any elective office or for or against any referendum question.
 - Serving as a delegate, alternate, or proxy to a political party convention.
 - Participating in any recount or challenge to the outcome of any election.
- w. “Relative” means a Person who is related to an Officer or Employee as spouse, domestic partner, fiancé, or fiancée or as any of the following, whether by blood, marriage, or adoption: parent, child, brother or sister, aunt or uncle, first cousin, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, sister-in-law, brother-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister, half-brother or half-sister, or the grandfather or grandmother of the Person’s spouse, domestic partner, fiancé, or fiancée.
- x. “Resolution” means any amendment, initiative, report or any other matter enacted or pending or proposed to the Board of Commissioners or a committee or a subcommittee.
- y. “Seeking to do business” means taking any action within the past six (6) months or expecting to take any action within the next six (6) months, to obtain a contract from, or enter into any enterprise with, the DHA.

Section 4: SUBSTANTIVE CODE OF CONDUCT PROVISIONS

Duty to Report Corrupt or Unlawful Activity or Any Violation of DHA Policy

Every DHA Officer, Employee, or Contractor shall report, directly and without undue delay, to the DHA Executive Director or designated DHA Ethics Officer, any information concerning conduct which such Officer or Employee knows or should reasonably know to involve corrupt or unlawful activity or any violation of DHA Policy by: (a) another DHA Officer or Employee which concerns such Officer’s or Employee’s office or employment; or (b) any Person in the course and scope of dealing with the DHA or the performance of DHA work.

Any Officer or Employee who knowingly fails to meet this duty to report a shall be subject to

DuPage
Housing Authority
Ethics Policy

sanctions, including removal from office or discharge. A DHA Contractor's knowing failure to meet this duty to report shall constitute an event of default under the contract.

Every DHA Officer, Employee, and Contractor shall cooperate with any investigation by the HUD Inspector General, DHA Executive Director, or the DHA Ethics Officer.

Protection from Retaliation

The DHA strictly prohibits any form of retaliation. Retaliation is any adverse action, including reprimand, discharge, suspension, demotion, denial of promotion, transfer, or a change in the terms and conditions of employment, taken against any Employee who, in good faith, engages in "protected activity" including:

- Discloses or threatens to disclose an activity, policy, or practice of any Officer, Employee, or Contractor that the Employee or other Person reasonably believes evidences an unlawful use of DHA funds or DHA funding for actions performed by or on behalf of the DHA; unlawful use of official authority, or other unlawful official conduct that poses a substantial and specific danger to public health or safety by any Officer, Employee or Contractor; or any other violation of a law, rule, or regulation or DHA policy by any Officer, Employee, or Contractor that relates to their work performed for, or on behalf of, the DHA.
- Provides information to or testifies before any public body conducting an investigation, hearing, or inquiry into any official activity, policy, or practice described above.
- Reports to, cooperates with, or assists the HUD Inspector General, DHA Executive Director, or DHA Ethics Officer in the performance of their respective offices.

The DHA prohibits retaliation even if the concerns raised are not confirmed following an investigation. But an employee may be subject to adverse action if the employee knowingly made a false allegation, provided false or misleading information in the course of an investigation, or otherwise acted in bad faith.

This prohibition against retaliation does not exempt employees from the consequences of their own misconduct or inadequate performance, and self-reporting such issues does not prevent the DHA from managing employee performance and addressing conduct issues after an employee has engaged in protected activity, so long as the protected activity is not the reason for the performance management.

If any retaliation occurs in violation of this section, the DHA shall take such actions within its power to remedy the negative effects of such retaliation.

DuPage
Housing Authority
Ethics Policy

Improper Influence

No Officer or Employee shall make, participate in making, or in any way attempt to use his position to influence any DHA decision or action in which he knows, or has reason to know, he has any Financial interest distinguishable from that of the general public.

Conflicts of Interest; Appearance of Impropriety

A conflict of interest exists whenever the personal interests of an Officer or Employee are inconsistent with —i.e., conflict with — the interests of the DHA. While employed at, or serving as an Officer for, the DHA, the primary business loyalty of that Officer or Employee must lie with the DHA. As a result, an Officer or Employee must not engage in activities outside of work that create a possible conflict of interest. An actual conflict of interest need not exist to constitute a violation of the Policy. Activities that create the appearance of conflict of interest must also be avoided.

No Officer or Employee shall make or participate in the making of any policy, or governmental or administrative decision, with respect to any matter in which he or she has any Financial Interest distinguishable from that of the general public, or from which he or she has derived any income or compensation during the preceding 12 months or from which he or she reasonably expects to derive any income or compensation in the following 12 months.

To avoid even the appearance of impropriety, any Officer who: (a) has any Financial Interest in any matter pending before the DHA; or (b) has a Business Relationship with a Person or entity with a matter pending before the DHA Board of Commissioners or any board committee that requires board action, shall publicly disclose the nature and extent of such Financial Interest or Business Relationship on the records of proceedings of the Board of Commissioners. The Officer shall also notify the Executive Director of such interest within 72 hours of delivery of information regarding the matter to the board member, or as soon thereafter as the member is or should be aware of, such potential conflict of interest.

The Officer or Commissioner may recuse himself/herself in the event of a conflict of interest. Where there is the potential for the appearance of a conflict of interest, the Officer or Commissioner may abstain from voting on the matter but shall be counted present for purposes of a quorum.

Any Employee who has a Financial interest in any matter pending before the DHA shall disclose the nature of such interest to the Executive Director or Ethics Officer and, if the matter is pending in his or her own department, to the head of the department within 72 hours of when the Employee is, or should be, aware of the pendency of the matter. This section does not apply to applications for health, disability or workers' compensation benefits.

DuPage
Housing Authority
Ethics Policy

Interest in DHA Business

No Officer or Employee shall have a Financial Interest in his or her own name or in the name of any other Person in any contract, subcontract, work or business of the DHA, or in the sale of any article, whenever the expense, price or consideration of the contract, work, business or sale is paid with funds belonging to or administered by the DHA. Compensation for property taken pursuant to the DHA's eminent domain power shall not constitute a Financial interest within the meaning of this section.

No Officer or Employee who has Contract management authority over any contract, work, or business of the DHA shall have a Financial Interest in any entity which is a Contractor or otherwise a party to that contract, work, or business.

Unless sold pursuant to a process of competitive bidding following public notice, no Officer or Employee shall have a Financial interest in the purchase of any property that (a) belongs to the DHA or (b) is sold by virtue of legal process initiated by the DHA. No Officer or Employee shall engage in a transaction described in this section unless the matter is wholly unrelated to the Officer's or Employee's DHA duties and responsibilities.

Representation of Other Persons

No Officer or Employee may represent any Person other than the DHA in any formal or informal proceeding or transaction before DHA, provided that nothing in this subsection shall preclude any Officer or Employee from performing the duties of his office or employment.

No Officer or Employee may represent, or derive any income, compensation, or other tangible benefit from the representation of any Person in any judicial or quasi-judicial proceeding before any administrative agency or court in which the DHA is a party and that Person's interest is adverse to that of the DHA, or in any judicial or quasi-judicial proceeding before any administrative agency or court in which the DHA may be liable for the judgment or may be obligated to indemnify any of the parties.

No Officer or Employee may represent any Person in the circumstances described above unless the matter is wholly unrelated to the Officer's or Employee's DHA duties and responsibilities.

DHA-Owned Property

No Officer, Employee, or Contractor shall engage in or permit the unauthorized use of DHA-owned property. Nothing in this provision prohibits Officers and Employees from utilizing telephone, facsimile, cell phone and computer equipment for limited personal use.

Use or Disclosure of Confidential Information

No current or former Officer or Employee shall use or disclose, other than in the performance of his or her official duties and responsibilities, or as may be required by law, confidential information gained in the course of or by reason of his or her position or employment. For purposes of this section, "confidential information" means any information that may not be

DuPage
Housing Authority
Ethics Policy

obtained pursuant to the Illinois Freedom of Information Act or without a court order or that is subject to disclosure in any meeting as defined by the Illinois Open Meetings Act.

Solicitation or Receipt of Money for Advice or Assistance

No Officer, Employee, or Relative shall solicit or accept any money or other thing of value, including, but not limited to, gifts, favors, services or promises of future employment, in return for advice or assistance on matters concerning the operation or business of the DHA. But, nothing in this section shall prevent an Officer or Employee or the spouse or Domestic partner of an Officer or Employee from accepting compensation for services wholly unrelated to the Officer's or Employee's DHA duties and responsibilities and rendered as part of his or her non-DHA employment, occupation, or profession and the Employee has complied with the approval provisions of the Outside Employment section.

Other Prohibited Conduct

No Officer or Employee or the spouse or domestic partner of such Officer or Employee, or any entity in which such Officer or Employee or his or her spouse or Domestic partner has a Financial interest, shall apply for, solicit, accept or receive a loan of any amount from any Person who is either Doing business or Seeking to do business with the DHA; provided, however, that nothing in this section prohibits application for, solicitation for, acceptance of or receipt of a loan from a financial lending institution, if the loan is negotiated at arm's length and is made at a market rate in the ordinary course of the lender's business. This section shall not apply to an entity in which the only financial interest of the Officer or Employee or his or her spouse or Domestic partner is related to the spouse's or Domestic partner's independent occupation, profession or employment.

No Officer, nor the head of any DHA department, shall knowingly retain or hire as a DHA Employee or DHA Contractor any Person with whom any Officer or Employee has a Business Relationship.

No Officer or Employee shall negotiate the possibility of future employment with any Person, except with a government agency, that has a matter currently pending before such Officer or Employee.

For a period of one year from the date of employment or becoming a DHA Officer or Employee, no DHA Officer or Employee shall participate in a decision-making capacity in a matter that benefits his or her immediate former employer or immediate former client who the Officer or Employee represented or on whose behalf he or she acted as a consultant prior to becoming a DHA Officer or prior to commencing his or her DHA employment.

No Officer or Employee shall use his or her office or position to secure a personal benefit, gain, or profit, or use his or her office or position to secure special privileges or exceptions for himself or herself, or for the benefit, gain, or profit of any other Person.

DuPage
Housing Authority
Ethics Policy

Employment of Relatives

No Officer or Employee shall employ or supervise, or advocate for the employment of, any relative of said Officer or Employee in any DHA department in which said Officer or Employee serves or over which he or she exercises authority, supervision, or control any Relative of said Officer or Employee. Nor shall any Officer or Employee execute any duty or responsibility, vote for any resolution, or decide any matter in exchange for or in consideration of the employment of any Relative of said Officer or Employee Relatives by any other Officer or Employee.

No Officer or Employee shall exercise Contract management authority over any DHA contract if a Relative of the Officer or Employee is employed by the other party to the contract or will perform any part of the contract, or will derive an economic benefit from the contract, or exercises or has exercised Contract management authority over the contract.

No Officer or Employee shall use or permit the use of his or her position to assist any Relative in securing employment or contracts with any Person over whom the Officer or Employee exercises Contract management authority. The employment of or contracting with a Relative of such a DHA Officer or Employee by such a Person within six months prior to, during the term of, or six months subsequent to the period of a DHA contract shall create a rebuttable presumption that said employment or contract was obtained in violation of this Policy.

Political Activity

No Officer or Employee shall intentionally perform any Political Activity during any Compensated time.

No Officer or Employee shall intentionally use any DHA property or resources in connection with any Political Activity, including but not limited to DHA-issued electronic communication devices which are subject to the DHA Communications Equipment Policy.

No Officer or Employee shall intentionally require or instruct any other Officer or Employee to perform, or participate in, any Political Activity: (a) as part of the other Officer's or Employee's duties; (b) as a condition of employment; (c) during any DHA compensated time off; or (d) as consideration for additional compensation or any other benefit, including a salary adjustment, bonus, compensatory time off, or continued employment.

No Officer or Employee shall be awarded additional compensation or any benefit for such Officer's or Employee's participation in any Political Activity.

Nothing in this section shall be construed to prohibit activities that an Officer or Employee undertakes as part of such Officer's or Employee's official duties or such activities that the Officer or Employee may undertake on a voluntary basis in her personal capacity. If an Officer or Employee engages in any Political Activity during non-Compensated time, she should not identify her official title or DHA employment.

Solicitation or Acceptance of Political Contributions and Membership on Political Fundraising Committees

The Hatch Act, 5 U.S.C. §1501 et seq., restricts the political activity of Employees in that they (a) may not be candidates for public office in a partisan election; (b) may not use official authority or influence for the purpose of interfering with or affecting the results of an election or a nomination for office; or (c) may not directly or indirectly coerce contributions from another Officer or Employee in support of a political party or candidate.

No Officer or Employee shall compel, coerce, or pressure any other Officer or Employee to solicit, make, or refrain from making any Political contribution or engage, refrain from engaging, in political activities. No Officer or Employee shall knowingly solicit any Political contribution from any other Officer or Employee over whom he or she has supervisory authority. Nothing in this section shall be construed to prevent any Officer or Employee from voluntarily making or soliciting an otherwise permissible contribution or from receiving an otherwise permissible voluntary contribution.

No Officer or Employee shall knowingly solicit or accept any Political contribution from a Person Doing business or seeking to do business with the DHA.

No Person with Contract management authority shall serve on any Political Fundraising Committee.

Post-Employment Restrictions

No former Officer or Employee shall assist or represent any Person other than the DHA in any judicial or administrative proceeding involving the DHA, if the Officer or Employee was counsel of record or participated personally and substantially in the proceeding during his or her term of office or employment.

No former Officer or Employee shall, for a period of one year after the termination of the Officer's or Employee's term of office or employment, assist or represent any Person in any business transaction involving the DHA, if the Officer or Employee participated personally and substantially in the subject matter of the transaction during his or her term of office or employment; provided, that if the Officer or Employee exercised Contract management authority with respect to a contract this prohibition shall be permanent as to that contract.

This section does not apply to any former Officer or Employee acting within the scope of his employment for any other governmental unit.

Outside Employment

All DHA Employees are prohibited from engaging in secondary employment unless the Employee's Department Head and the head of Human Resources provide written approval of such secondary employment. Annually, all Employees are required to complete and submit

DuPage
Housing Authority
Ethics Policy

a Secondary Employment Report and Request Form attesting that the Employee does not have secondary employment or requesting approval for such employment. Such form must be submitted annually, even if secondary employment has previously been approved. Secondary employment includes traditional employment, independent contractors, and self-employment arrangements. It is the Employee's obligation to seek approval before commencing secondary employment if the Employee's secondary employment status changes prior to the January reporting period. Employees are prohibited from obtaining secondary employment with the County of DuPage or any Sister Agency.

Contract Inducements

No payment, gratuity, or offer of employment shall be made in connection with any DHA contract, by or on behalf of a subcontractor to the prime Contractor or higher-tier subcontractor or any Person associated therewith, as an inducement for the award of a subcontract or order. This prohibition shall be set forth in every DHA contract and solicitation.

Section 5: GIFTS AND OTHER FAVORS

Offering, Receiving, and Soliciting Gifts or Favors

Aside from the exceptions in this section, no Officer or Employee shall: (a) solicit or accept any gift on his behalf or that of any other Person; or (b) accept any gift of cash, gift card, or cash equivalent.

No Officer, Employee, or Relative, shall knowingly accept any gift unless the total value of all gifts given to the Officer, Employee, or Relative by a single source amounts to no more than \$50.00 in a calendar year. Employees of the Procurement Department are prohibited from accepting any gift of any amount from a DHA Contractor Doing business or Seeking to do business with the DHA.

No Officer or Employee shall accept any gift or money for participating in speaking engagements, lectures, debates, or any forum during the term of office or employment.

No Officer or Employee shall offer or make a gift that violates this section. The restrictions noted above shall not apply to the following:

- Any opportunity, benefit, loan, or service that is available to the public on the same terms.
- Anything given by a Relative or friend, unless the Officer or Employee has reason to believe that, under the circumstances, the gift was given because of said office or employment.

DuPage
Housing Authority
Ethics Policy

- Anything given to, or accepted on behalf of, the DHA, provided that the Person accepting the item on the DHA's behalf shall immediately report it to the DHA's Ethics Officer or Executive Director.
- Any food, refreshment, lodging, transportation, or other benefit resulting from the outside business or employment activities of the Officer or Employee, if such benefits have not been enhanced and are customarily provided to others in similar circumstances.

No Person shall give or offer to any Officer, Employee, Relative, or DHA Contractor, nor shall such person accept, anything of value, including, but not limited to, a gift, favor or promise of future employment, based upon any mutual understanding, either explicit or implicit, that the votes, official actions, decisions or judgments of any Officer, Employee or Contractor, concerning the business of the DHA would be influenced thereby. It shall be presumed that a nonmonetary gift having a value of less than \$50.00 does not involve such an understanding.

No Officer, Employee, or Relative shall solicit or accept any money or other thing of value including, but not limited to, gifts, favors, services or promises of future employment, in return for advice or assistance on matters concerning the operation or business of the DHA; provided, however, that nothing in this section shall prevent an Officer, Employee, or Relative from accepting compensation for services wholly unrelated to the Officer's or Employee's DHA duties and responsibilities and rendered as part of his or her non-DHA employment.

The prohibitions of this section shall not apply to any food, refreshment, lodging, transportation, or other gift or benefit resulting from the outside business, employment or community activities of a Relative, if such benefit has not been offered or enhanced because of the official position or employment of the Officer or Employee, and is customarily provided to others in similar circumstances.

An Officer or Employee is not in violation of this provision if he promptly takes reasonable action to return a prohibited gift to its source or donates it to an appropriate charity that is exempt from income taxation under the U.S. Internal Revenue Code.

Section 6: FINANCIAL DISCLOSURE

Statement of Financial Interests

Annually, every Officer and Employee, "Reporting Individual" for purposes of this section, must file a Statement of Financial Interest as directed by Human Resources. Newly hired Employees or appointed Officers become a Reporting Individual on the first day of employment

DuPage
Housing Authority
Ethics Policy

or assuming office. Any Officer or Employee who intentionally files a false or misleading Statement of Financial interests shall be subject to sanctions up to and including removal from office or dismissal.

Content of Statements

Statements of financial interests shall contain the following information:

- The name, address, and type of any professional, business or other organization (other than the DHA) in which the Reporting Individual was an officer, director, associate, partner, proprietor or employee, or served in an advisory capacity, and from which any income in excess of \$1,000.00 was derived during the previous calendar year.
- The nature of any professional, business or other services rendered by the Reporting Individual or by his or her spouse or domestic partner, or by any entity in which the Reporting Individual or his or her spouse or domestic partner has a Financial interest, and the name and nature of the Person or entity (other than the DHA) to whom or to which such services were rendered if, during the preceding calendar year, (1) compensation in excess of \$5,000 was received for professional or other services by the Reporting Individual, or by such Reporting Individual's spouse or domestic partner, or by an entity in which the Reporting Individual or his or her spouse or domestic partner has a Financial interest and (2) the Person or entity was doing business with the DHA.
- The identity of any capital asset connected to an Instrument of ownership in a Person Doing business with the DHA, including the address or legal description of real estate, from which the Reporting Individual realized a capital gain of \$5,000.00 or more in the preceding calendar year other than from the sale of the Reporting Individual's principal place of residence.
- The name of any unit of government, other than the DHA, which employed the Reporting Individual during the preceding calendar year.
- The name of any board on which the Reporting Individual serves and the position of the Reporting Individual on such board.
- The name of any Relative or domestic partner of the Reporting Individual who is an employee owner of a DHA Contractor.
- The name of any Person from whom the Reporting Individual or the Reporting Individual's spouse, Domestic partner, or Immediate family member received, during the preceding calendar year, one or more gifts having an aggregate value in excess of \$50.00.

DuPage
Housing Authority
Ethics Policy

- The name and instrument of ownership in any Person conducting business with the DHA, in which the Reporting Individual had a financial interest during the preceding calendar year. Ownership interests in publicly held corporations and Real Estate Investment Trusts (“REITS”) need not be disclosed.
- The identity of any Financial interest in DHA-owned real estate or real estate rented to individuals holding Section 8 Certificates, other than the principal place of residence of the Reporting Individuals and the address, or, if none, the legal description of the real estate, including all forms of direct or indirect ownership such as partnerships or trusts of which the corpus consists primarily of real estate.
- The name of any Person Doing business with the DHA with whom the Reporting Individual, or his or her spouse, Domestic partner, or Immediate family member, has or had a Financial interest, or was employed by such Person Doing business with the DHA during the preceding calendar year, and the description of the Financial interest and/or the description of any position held by the Reporting Individual in such Person.
- The name and instrument of debt of all debts in excess of \$5,000.00 owed by, or owed to, the Reporting Individual, where the creditor or debtor, or any guarantor of the debt, has done work for or business with the DHA in the preceding calendar year. This provision does not apply to debt instruments issued by financial institutions in the business of making loans and at the prevailing rate of interest and in accordance with other standard loan terms and conditions; or Debt instruments issued by publicly held corporations and purchased by the Reporting Individual at fair-market value.
- An affirmation that the Reporting Individual has not been offered, accepted, or attempted to accept any bribes or kickbacks from any Person who has done business with the DHA, is Doing business with the DHA, or is Seeking to do business with the DHA, or that the Reporting Individual failed to report an offer of a bribe by any such Person.

Form Statement of Financial Interests

The Statement of financial interests required to be filed shall be completed and verified, dated, and signed by the Reporting Individual personally. It shall be submitted on a form prescribed by the Executive Director or Human Resources.

DuPage
Housing Authority
Ethics Policy

Filing of Statements

Annually, Human Resources, shall identify all Reporting Individuals, and in writing, notify all Reporting Individuals of their obligation to file a Statement of Financial Interests and providing the instructions/process for meeting this obligation.

The Ethics Officer shall provide a receipt to each Reporting Individual upon his successful filing of a Statement of Financial Interest.

All Statements of financial interests shall be available for examination and duplication by the public during the regular business hours of the DHA. Any Person seeking a copy of, or to examine, a Statement of Financial Interests or shall make such a request, in writing, of the Executive Director. The written request form shall include the name, occupation, employer, address, and telephone number of the examiner, as well as the reason for such examination or duplication of each Statement of Financial Interests to be examined or duplicated. The person requesting a copy of a Statement of Financial Interests shall pay the cost of copying.

When a request is made for a copy of, or to examine, a Statement of Financial Interests, the Executive Director or Human Resources shall notify the Reporting Individual who filed the Statement in question with a copy of the written request.

Failure to File Statement by Deadline

If a Reporting Individual fails to file a Statement of Financial Interests by the set deadline of any year, Human Resources or the Executive Director shall notify such Person of his failure to do so and of the obligation to file the Statement, along with a late filing fee of \$30.00. Should the Reporting Individual again fail to meet the set deadline, he shall be subject to a fine of \$10.00 per day until the statement is filed, up to a maximum of \$100.00. The Executive Director shall have the discretion to grant an extension of the deadlines or waive the fee and fines.

Any Employee who fails to file a Statement of Financial Interests shall be suspended from employment and be referred to the head of Human Resources and the Executive Director to determine if further action is necessary. The Chair of the Board of Commissioners shall be notified of any Officer failing to file a Statement of Financial Interests for further action.

SECTION 7: DHA ETHICS OFFICER

Appointment of Ethics Officer

The Ethics Officer shall be an employee designated by the Executive Director and confirmed by the Board.

Powers and Duties

The Ethics Officer shall monitor and enforce the Ethics Policy. In addition to powers and duties specifically mentioned in this Policy, the Ethics Officer shall:

- Receive complaints of violations of any of the provisions of this Policy and investigate and act upon such complaints as provided by this Policy;
- Conduct investigations, inquiries, and hearings concerning any matter covered by this Policy. In the process of investigating complaints of violations of this Policy, the Ethics Officer may request the issuance of a subpoena by the appropriate authority. The Ethics Officer may exercise appropriate discretion in determining whether to investigate and whether to act upon any complaint or conduct. When the Ethics Officer determines that assistance is needed in conducting investigations, or when required by law, the Ethics Officer shall request the assistance of other appropriate agencies;
- Request the cooperation of Officers, Employees, and other Persons covered by this Policy, in investigating alleged violations of this Policy;
- Consult with Officers and Employees on matters involving ethical conduct;
- Recommend such administrative action as he may deem appropriate to effectuate this Policy;
- Request legal assistance to conduct research and analysis;
- Prescribe forms for the disclosure and registration of information as covered by this Policy;
- Render opinions with respect to this Policy based upon real or hypothetical circumstances for any Officer, Employee, or Person who is personally and directly involved;

DuPage
Housing Authority
Ethics Policy

- Provide education or training, as he deems necessary, to effectuate the requirements and purpose of this Policy and maintain records of these activities; and

Actions on Complaints or Investigations

The Ethics Officer may exercise appropriate discretion in determining whether to investigate or whether to act upon any conduct or complaint, including anonymous complaints. The Ethics Officer may also exercise appropriate discretion as to all aspects of the investigation, including, but not limited to, its scope, the collection of evidence and other information, the parties to be interviewed, the credibility of the facts set forth in the complaint and of the witnesses and other evidence, when to conclude the investigation, and the appropriate form of any investigatory report.

Upon receipt of any complaint or notice of misconduct, the Ethics Officer may refer the complaint to the HUD Office of Inspector General if the subject matter of the complaint more appropriately falls within the OIG's jurisdiction, including: complaints or allegations relating to waste, fraud, and abuse; Contractor, subcontractor, consultant, or vendor misconduct, fraud or collusion involving DHA contracts and/or Contractors, subcontractors, consultants, or vendors; misuse, embezzlement or theft of DHA resources; bribery; or other misconduct or illegal activities involving DHA property, Officers, Employees, Board members, agents, Contractors, subcontractors, consultants, or vendors. In making such a determination, the Ethics Officer may respond to complaints or notices relating to a potential violation of the Ethics Policy or an employment related issue under the DHA Employee Handbook.

Any Officer, Employee, or Contractor who fails to provide documents or information requested by the Ethics Officer, or who furnishes false or misleading information to the Ethics Officer with the intent to mislead, shall be subject to removal from office, employment sanctions, or the cancellation of contract rights.

At the conclusion of an investigation, the Ethics Officer shall prepare a written report. The Ethics Office may exercise his or her discretion as to the form of the report and the appropriate recipients. If the allegations are substantiated, the report shall contain recommendations for the appropriate administrative, legal, or personnel action. The Ethics Officer shall notify the Person investigated, the Person who reported the complaint or allegation, and all other appropriate parties of the findings of the investigation. The Ethics Officer will maintain a record of investigations conducted, the findings, and any action taken.

DuPage
Housing Authority
Ethics Policy

Nothing in this section shall preclude the Ethics Officer from notifying a Person, prior to or during an investigation, that a complaint against him is pending and, where appropriate, recommending to him corrective action.

Confidentiality

Complaints to the Ethics Officer and investigations and recommendations thereon shall be kept confidential by the Ethics Officer, the head of Human Resources, the Executive Director and the Chair of the Board of Commissioners, except as necessary to carry out the powers and duties of the Ethics Officer or to enable another Person or agency to consider and act upon the notices and recommendations of the Ethics Officer. This provision does not prohibit the Ethics Officer from (a) commenting publicly on the disposition of his requests and recommendations and (b) publishing summary opinions to inform DHA personnel and the public about the interpretation of provisions of this Policy, as long as the identity of the Person or matter is kept confidential

Any Officer or Employee who is found to have disclosed any information relating to an investigation or findings under this Policy may be subject to sanctions up to and including dismissal or removal.

Investigations by Other Agencies

If the Ethics Officer is reliably informed that a matter under investigation is also a matter under investigation by the HUD OIG or a law enforcement agency, the Ethics Officer may, but is not required to, suspend his investigation. The Ethics Officer may reinstate his investigation upon the conclusion of the investigation by the OIG or the law enforcement agency.

If the Ethics Officer has a reasonable basis for concluding that an investigation has revealed criminal conduct, the Ethics Officer shall refer the matter to the appropriate law enforcement authority.

SECTION 8: PENALTIES FOR VIOLATION

Sanctions

Any Officer or Employee found to have violated any provision of this Policy, shall be subject to employment sanctions, including removal from office or discharge.

The sanctions imposed under this Policy, the Employee Handbook, or any other DHA policy or procedure shall be in addition to any other applicable penalty, including under any federal or state criminal statute. The Ethics Officer shall consult with the Executive Director and determine when to report an allegation, complaint, or facts and to which law enforcement body.

DuPage
Housing Authority
Ethics Policy

Any DHA Contractor found to have violated any provision of this Policy may be subject to cancellation of a contract, prohibited from entering into any contract with the DHA for a period of time, or debarment from future contracts.

Any contracts negotiated, entered, or performed in violation of any provision of this Policy shall be void and/or voidable by the DHA. Any official action of the DHA obtained or undertaken in violation of any provision of this Policy shall be invalid and without any force or effect whatsoever.

Other Remedies and Policies

Nothing in this Policy shall preclude the DHA from maintaining an action for an accounting for any pecuniary benefit received by any Person in violation of this Policy or other law, or to recover damages for any acts or practices in violation of this Policy.

The procedures and penalties provided in this Policy are supplemental and do not limit either the power of the DHA to discipline Officers or Employees or take appropriate administrative action or to adopt more restrictive rules. Nothing in this Policy is intended to repeal or is to be construed as repealing the provisions of any other policy.