



# *Ethics Hotline*

*Prepared for:* The United Automobile,  
Aerospace and Agricultural Implement  
Workers of America, UAW

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# UAW Ethics Hotline

## What is it?



*The Ethics Hotline (or Hotline) is a direct and confidential channel where any UAW member, employee, or third party can report an ethical concern related to:*

- *Fraud*
- *Financial mismanagement*
- *Racial or sexual harassment and discrimination or*
- *Improper use of Union resources by UAW International officials, staff, or employees.*

Available 24 hours-a-day, 7 days-a-week, 365 days-a-year in English or Spanish via a toll-free phone call or the web. Each method of communication is independently administered and external to the UAW International.

- The UAW has hired Exiger, one of the nation's top compliance and investigative firms, to serve as the acting Ethics Ombudsman. As the current Ombudsman, Exiger will review and investigate reports from the Ethics Hotline, whether submitted by phone or through the website.
- The UAW has appointed Wilma Liebman, the former Chairperson of the National Labor Relations Board under President Barack Obama, as its external Ethics Officer responsible for overseeing and reviewing the Ethics Ombudsman's investigations, conducting hearings at her discretion, determining whether an actionable violation occurred, and issuing a report and recommendation to the appropriate UAW officials whenever an ethical violation is found.

The contact information for the Ethics Hotline and details about the program are available on the Ethics webpage, located on the UAW International website.

# Ethics Hotline

## In-Scope/Out-of-Scope Issues



### *The Hotline is for reporting:*

- ✓ Misuse of Union funds
- ✓ Kickbacks or bribery
- ✓ Theft of money or property
- ✓ Conflict of interest
- ✓ Embezzlement
- ✓ Falsification of contracts or records
- ✓ Fraud
- ✓ Malfeasance or abuse relating to accounting records, auditing, or internal controls
- ✓ Racial or sexual harassment and discrimination
- ✓ Improper giving/receipt of gifts to/from employer(s)
- ✓ Steering contracts to an individual or company for personal gain, and other self-dealing
- ✓ Personal use of Union funds or resources
- ✓ Compliance and regulatory violations
- ✓ Abuse of benefits
- ✓ Other violations of the Ethical Practices Codes and Administrative Letters

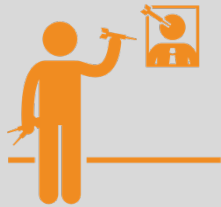
### *The Hotline is not for reporting:*

- ✗ Issues or complaints between Local Union members
- ✗ Potential misconduct by Local Union officials and management if clearly unrelated to International Union officials, staff, or employees
- ✗ Issues or complaints by UAW members pertaining to the grievance process
- ✗ Employment-related concerns, including performance management, improper relationships, insubordination, lack of professionalism, or other human resource policy or procedure concerns
- ✗ Concerns relating to personal safety or physical security, or environmental concerns

# Commitment to Confidentiality and Non-Retaliation



**Confidentiality:** The Ethics Hotline is confidential, but not anonymous. You will be required to provide your name and contact information in order for a report to be processed. This is necessary to help ensure that there is no retaliation against good faith claims, to avoid bad faith claims, and to facilitate the investigative process.



**Non-Retaliation:** The UAW International is fully committed to ensuring that no official or employee who submits a report in good faith suffers retaliation in the form of harassment or adverse employment/career consequences.

# Ethics Hotline

## How Does It Work?



### **Call Ethics Hotline or File Report Online**

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Confidentially report ethical violations by UAW International officials, staff, or employees.



### **3rd-Party Review by Ethics Ombudsman**

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The Ethics Ombudsman, upon reviewing incoming reports, will take the following steps:

- Inform the Ethics Officer of all reports.
- Begin the investigation and contact the individual who filed the report.
  - Investigative steps may include interviews and document review.
- Send investigative findings to the Ethics Officer.
- For reports outside the scope of the Ethics Hotline, close out the report, contact the individual filing the report to redirect him or her to the appropriate resource.



### **External Ethics Officer Review**

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Upon being informed of a report, the Ethics Officer will do one of the following:

- Ask the Ethics Ombudsman or the Ethics Officer's own staff to further investigate the matter.
- Hold a hearing at her discretion.
- Find that an actionable violation occurred and draft a report and recommendation for the official/entity with responsibility over the person(s) who engaged in the violation, for consideration of remediation or discipline.
- Determine that no disciplinary action is needed, but inform the appropriate UAW authority of any systemic issue identified or recommendation for policy or procedure considerations to avoid future misconduct.



### **UAW Official Review**

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Official decides whether to pursue the disciplinary process. If so, the Ethics Officer's report and recommendation as well as investigation reports and materials become part of the proceeding. Regardless of the outcome, the official's decision is reported back to the Ethics Officer in writing.

# Ethics Hotline Filing a Report Via the Web

This screenshot shows the information anyone wishing to file a report will see upon visiting the Ethics Reporting website.



[Español](#)

Thank you for visiting the United Auto Workers Union ("UAW") confidential Ethics Reporting website. This website is provided to UAW members, employees, and third-parties working with the UAW who wish to report potential ethical violations by employees or elected officials of the International Union, UAW, including:

- concerns relating to financial misconduct
- concerns relating to sexual and racial harassment and discrimination
- violations of the UAW Constitution and Ethical Practices Codes

The Ethics Reporting website is not intended to address issues or concerns related to (1) handling of a Union member's grievance or (2) Local Union elections, both of which are covered under Article 33 of the UAW Constitution.

The UAW believes confidentiality and non-retaliation are essential to this Ethics Reporting website. Please note that it will greatly assist our efforts to receive your name and contact information when submitting a report. While the UAW will treat your report as confidential to the extent possible, we need this information to help make the investigative process effective.

You may also report a concern by calling our Toll-Free Hotline number: [\(866\) 830-0006](tel:866-830-0006)



## Report an Incident or Misconduct

To report an incident or misconduct, click the Submit button below.

Submit



## Already Made a Report?

To follow-up, click the button below.

Follow-up



## UAW Documents

To view UAW documents, click on the link(s) below

[Download the UAW Constitution](#)

## Confidentiality and Non-Retaliation

The UAW will take necessary steps to preserve the confidentiality of the person making the report and to ensure that individuals filing a report in good faith will not suffer retaliation in the form of harassment or adverse employment or career consequences. The UAW has retained Exiger LLC, an investigative firm, to professionally screen and investigate all reports submitted through this website.

## *Where Can I Find More Information?*



### *Ethics Hotline FAQs:*

- The Ethics Hotline Frequently Asked Questions have answers to most questions pertaining to the Hotline. The FAQs are available on the Ethics Hotline Reporting website.

*Ethics Reporting website:* [www.lighthouse-services.com/uaw](http://www.lighthouse-services.com/uaw)



- The Ethics Hotline Reporting website has information about the purpose of the Hotline and its intended use. It also allows individuals to file reports online, and has links to the UAW Constitution (which includes the Ethical Practices Codes) and the Ethics Hotline FAQs.



***Note on Ethics Hotline:*** Exiger uses Lighthouse Services to administer the Ethics Hotline number and reporting website. Lighthouse Services will collect all pertinent information regarding the alleged misconduct and securely pass this information to Exiger for review.



*Thank You*