



# BOARD OF ETHICS CY 2016 ANNUAL REPORT

JANUARY 1, 2016 – DECEMBER 31, 2016

Prepared by:  
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Submitted by  
Board of Ethics Members:  
George Pruden, II, Chair  
Steven Hausman, Member  
Robert Moore, Member  
Lorielle Pankey, Alternate Member

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# Washington Suburban Sanitary Commission

## Annual Ethics Report

### Calendar Year 2016

#### Overview

Pursuant to the Maryland Public Ethics Laws §§ 5-823(d) and 5-830(d) and Washington Suburban Sanitary Commission (“WSSC”) Code of Ethics § 2-10, this report covers conflicts of interest matters brought before the WSSC Board of Ethics (Board) and addresses lobbying activities occurring during Calendar Year 2016.

The current WSSC Board of Ethics members are:

Mr. George Pruden, II (Chair),  
Dr. Steven Hausman,  
Mr. Robert Moore, and  
Ms. Lorielle Pankey (Alternate Member).

The Board maintains a public website that is accessible through WSSC’s “About Us” tab on the home page (<https://www.wsscwater.com/about-us/board-of-ethics-1.html>). The website provides information to WSSC employees, ratepayers, stakeholders, and other interested parties regarding the Board members, the Board’s area of responsibility, and contact information for the Ethics Office. Visitors to the page can review and download WSSC’s Code of Ethics, lobbyist registration information, and a list of entities doing business with WSSC. The Board’s Advisory Opinions, Waiver Request decisions, and Complaint rulings are also accessible through the webpage.

The WSSC Ethics Office consists of an Ethics Officer, who reports functionally to the Board and administratively to WSSC’s Internal Audit Director, and an administrative professional.

#### Meeting Activities

The Board conducted twelve (12) regular and two (2) special meetings in 2016 to address matters within its purview including, but not limited to:

- ◆ Six (6) Complaints (four were new in 2016);
- ◆ The Board reviewed plans submitted by WSSC employees describing how they would avoid participating significantly in matters that would result in a conflict of interest for the employee;
- ◆ A change to the WSSC Code of Ethics regarding the minimum salary grade level for a position to be required to file a financial disclosure statement;
- ◆ Financial Disclosure Statement filings;
- ◆ Lobbyists activities; and
- ◆ Ethics training for WSSC employees.

Appendix A summarizes the Complaints and Recusal requests considered in 2016 and also provides updates on matters that were pending at the time of the 2015 report.

### **Financial Disclosure and Conflict of Interest Statements**

Section 5-1 of WSSC's Code of Ethics states who must file financial disclosure statements annually. WSSC reviewed 679 financial disclosure statements in 2016. Additionally, and in accordance with Code § 3-7, WSSC reviewed 961 conflict of interest statements from employees who are not required to file financial disclosure statements.

### **Lobbyist Report**

Persons and organizations lobbying WSSC are required to register as a lobbyist if there is (1) communication to influence and (2) lobbyist compensation or expenditures meet or exceed specified thresholds.

Appendix B summarizes the lobbyist expenditures reported to WSSC for calendar year 2016.

### **Additional 2016 Ethics Program Highlights:**

- ◆ All employees must complete one (1) hour of ethics training annually. By December 31, 2016, 98.5% of WSSC employees completed this requirement. By January 31, 2017, 100% of employees who were not on a leave status completed this training. Additionally, 159 employees participated in the live ethics training given monthly in conjunction with Human Resources' New Employee Orientation.
- ◆ The Ethics Officer, Angelique Dorsey, drafted guidance on various topics, including conference attendance and gift acceptance.
- ◆ WSSC's Ethics Office served as the primary point of contact for all ethics concerns and, under the general oversight of the Board of Ethics, provided informal advice on 67 ethics inquiries received by the office.

CY 2016  
WSSC BOARD OF ETHICS

ADVISORY OPINION

Recusal No.	Matter Summary	WSSC Code of Ethics Section Referenced	Resolution/Status (End of CY 2016)
A-15-01	A WSSC employee requested the Board's opinion on overseeing work on a contract while the employee's spouse is an employee of one of the contractors, but does not work on the project the employee oversees.	§ 3-1	Employee submitted a recusal plan to ensure that the employee would not participate in matters involving the spouse's employer.

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COMPLAINTS

Complaint No.	Allegation Summary	WSSC Code of Ethics Section Referenced	Resolution/Status (End of CY 2016)
C-15-02	Contractors were alleged to have conspired to falsify documents to make it appear that one of the contractors was meeting WSSC's subcontracting requirements.	§ 4-3(d)(1)	After a hearing, the Board of Ethics found that two of the four respondents had violated the Code of Ethics. A summary of the decision is located on the Board of Ethics website.
C-15-03	A WSSC Team Chief and a contractor were alleged to have misused their WSSC position and access for the benefit of the contractor.	§§ 1-2; 3-1(a) and (b); 3-4(a), (f) and (g); and 4-3(b), (d) and (e)	Complaint dismissed for lack of reasonable cause to believe that respondents had violated the Code of Ethics.
C-16-01	A WSSC employee was alleged to continue to access a former subordinate employee's time and attendance records.	§§ 3-5 and 3-4(c)	Complaint dismissed for lack of reasonable cause to believe that respondents had violated the Code of Ethics.
C-16-02	A former WSSC employee was alleged to have failed to file a required final financial disclosure statement upon separation from the Commission.	§ 5-2	Complaint dismissed after the respondent cured the alleged violation by filing the final financial disclosure statement.
C-16-03	A WSSC employee was alleged to have influenced the hiring of a qualifying relative by a vendor and to have managed a contract for a vendor that employs a qualifying relative.	§§ 3-1 and 3-4(d)	Pending.
C-16-04	A WSSC employee was alleged to have falsified a document submitted as part of a procurement file.	§ 4-3(d)	Pending.

**CY 2016 - LOBBYIST EXPENSES FOR EACH COMPANY  
AS REPORTED ON THE WSSC LOBBYIST ACTIVITY REPORT**

	<i>LOBBYIST</i>	<i>COMPANY</i>	<i>DATE OF REGISTRATION</i>	<b>REPORTING PERIOD</b>		<b>Total</b>
				<b>1/1/2016 thru 06/30/16</b>	<b>7/01/16 thru 12/31/16</b>	
1	R. Wineholt/W.S. Pharr/N. Whiteman	Apartment & Office Bldg. Assoc. of Metropolitan Wash.	9/27/2012	\$1,406.75	\$3,500.00	\$4,906.75
2	N. Greenbaum	Bainbridge - The Monty	12/17/2013	\$3,675.00	\$2,695.00	\$6,370.00
3	N. Greenbaum/C. Schaller	Brookfield Travilah	5/12/2016	\$0.00	\$0.00	\$0.00
4	N. Greenbaum	Burdette Properties	12/3/2015	\$0.00	\$0.00	\$0.00
5	N. Greenbaum	EYA/Chevy Chase Lake	6/15/2015	\$225.00	\$0.00	\$225.00
6	N. Greenbaum	Emmanuel Baptist Church	7/11/2013	\$0.00	\$0.00	\$0.00
7	N. Greenbaum	EYA/CSP Associates	11/5/2014	\$0.00	\$5,022.50	\$5,022.50
8	S. Kaufman/N. Greenbaum	Gables Residential	1/13/2015	\$3,307.50	\$4,287.00	\$7,594.50
9	N. Greenbaum/B.Sears	Glenstone (Rales) Foundation	9/14/2011	\$0.00	\$0.00	\$0.00
10	N. Greenbaum	Mid Pike Plaza/Federal Real. Investment Trust	9/14/2011	\$11,207.50	\$367.50	\$11,575.00
11	N. Greenbaum	JBG Cos./Parklawn	3/18/2015	\$0.00	\$0.00	\$0.00
12	N. Greenbaum	EYA/Rock Spring	11/3/2014	\$0.00	\$0.00	\$0.00
13	N. Greenbaum	Sunbrook Partners	1/20/2011	\$2,475.00	\$2,475.00	\$4,950.00
14	K. Wineland	Stavrou Communities	1/27/2015	\$0.00	\$0.00	\$0.00
<b>Total Compensation and Expenses</b>				<b><u>\$ 22,296.75</u></b>	<b><u>\$18,347.00</u></b>	<b><u>\$40,643.75</u></b>