



BOARD OF ETHICS CY 2017 ANNUAL REPORT

JANUARY 1, 2017 – DECEMBER 31, 2017

Prepared by:
Angelique Dorsey, Ethics Officer

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

Submitted to the Commission
on April 13, 2018

Washington Suburban Sanitary Commission

Ethics Report

Calendar Year 2017

Overview

Pursuant to the Maryland Public Ethics Laws, Annotated Code, General Provisions Article §§ 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 2017.

The current WSSC Board of Ethics members are:

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

The Board maintains a public website that is accessible through WSSC’s “About Us” tab on the home page (found at <https://www.wsscwater.com/BOE>). The website provides information to WSSC employees, contractors, ratepayers, stakeholders, and other interested parties regarding the Board members, the Board’s area of responsibility, the Ethics Program at WSSC, 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 a full-time Ethics Officer, who reports functionally to the Board and administratively to WSSC’s Internal Audit Director, and a less-than-full-time administrative professional.

Meeting Activities

The Board conducted twelve (12) regular meetings in 2017 to address matters within its purview including, but not limited to:

- ◆ Seven (7) Complaints;
- ◆ Two (2) requests for a Waiver;
- ◆ Two (2) Advisory Opinion requests;
- ◆ A policy implementing the anti-nepotism provision of the WSSC Code of Ethics;
- ◆ Annual disclosure statement filings;

- ◆ Lobbyist activities; and
- ◆ Ethics training for WSSC employees.

Appendix A summarizes the formal Complaints, Waiver requests and Advisory Opinion requests considered in 2017 and also provides updates on matters that were pending at the time of the 2016 report.

Financial Disclosure and Conflict of Interest Statements

WSSC collects information annually from employees to enable it to identify and manage conflicts of interest.

Section 5-1 of WSSC's Code of Ethics provides who must file financial disclosure statements annually. WSSC received 778 financial disclosure statements in 2017. Additionally, and in accordance with Code § 3-7, WSSC received 904 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 meeting or exceeding specified thresholds.

Appendix B summarizes the lobbyist expenditures reported to WSSC for calendar year 2017.

Additional 2017 Ethics Program Highlights:

- ◆ All employees must complete one (1) hour of ethics training annually. By December 31, 2017, 99% of WSSC employees who were not on a leave status had completed the training. All employees completed training by January 31, 2018.
- ◆ In conjunction with the monthly Human Resources' New Employee Orientation, 164 employees participated in live ethics training given by the Ethics Officer.
- ◆ The Ethics Officer, Angelique Dorsey, drafted written guidance on various topics including requirements for accepting sponsorships to attend conferences hosted by WSSC vendors and how employees could avoid the appearance of representing WSSC in political activity when acting in a personal capacity.
- ◆ 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 112 ethics inquiries received by the office.

CY 2017
WSSC BOARD OF ETHICS MATTERS

ADVISORY OPINIONS

Matter No.	Matter Summary	WSSC Code of Ethics Section Referenced	Resolution/Status
A-17-01	A WSSC employee requested the Board's opinion regarding obtaining secondary employment with a company that does business with various water and sewer companies, but does not currently do business with WSSC.	§ 3-2	Advisory Opinion # A-17-01 issued and a summary of the decision is located on the Board of Ethics website.
A-17-02	A WSSC employee requested the Board's opinion on whether the BOE's jurisdiction reaches certain union related activities of WSSC employees.	§ 1-1	Advisory Opinion # A-17-02 issued and a summary of the decision is located on the Board of Ethics website.

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WSSC BOARD OF ETHICS MATTERS

COMPLAINTS

Matter No.	Matter Summary	WSSC Code of Ethics Section Referenced	Resolution/Status
C-16-03	A WSSC employee was alleged 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)	Complaint dismissed for lack of reasonable cause to believe that respondent had violated the Code of Ethics.
C-17-01	Alleged violation of conflict of interest and ethics in public contracting provision by a WSSC employee and contractor involving circumvention of the procurement process.	§ 3-4; 4-3(a)(1) and 3; and 4-4	Complaint dismissed for lack of reasonable cause to believe that respondents had violated the Code of Ethics.
C-17-02	Alleged violation of conflict of interest provisions by an employee involving favoritism to a WSSC contractor based on a personal benefit.	§§ 3-1(a)(4) and (6); 3-4(a); and 4-2	Complaint Opinion # C-17-02 issued and a summary of the decision is located on the Board of Ethics website.
C-17-03	Alleged violation of conflict of interest provisions by multiple WSSC managers involving an employee disciplinary decision.	§ 3-4(a)	Complaint dismissed for lack of reasonable cause to believe that respondents had violated the Code of Ethics.
C-17-04	Alleged violation of conflict of interest provisions by multiple WSSC managers involving employee termination proceedings.	§ 3-4(a)	Complaint dismissed for lack of reasonable cause to believe that respondents had violated the Code of Ethics.
C-17-05	A WSSC employee was alleged to have misused his/her office for a personal benefit.	§ 3-4(a)	Pending.

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WSSC BOARD OF ETHICS MATTERS

WAIVER REQUESTS

Matter No.	Matter Summary	WSSC Code of Ethics Section Referenced	Resolution/Status
W-17-01	A WSSC employee requested a waiver to obtain secondary employment as a consultant with a company that contracts with various water and sewer companies, but does not currently do business with WSSC.	§ 3-2	Resolved in Advisory Opinion # A-17-01 and a summary of the decision is located on the Board of Ethics website.
W-17-02	A WSSC employee requested a waiver to obtain secondary employment as a consultant with a company that does business with WSSC.	§ 3-2	Waiver Opinion # W-17-02 issued and a summary of the decision is located on the Board of Ethics website.

**CY 2017 LOBBYIST EXPENSES FOR EACH COMPANY
AS REPORTED ON THE WSSC LOBBYIST ACTIVITY REPORT**

	LOBBYIST	COMPANY	DATE OF REGISTRATION	REPORTING PERIOD		Total
				1/1/2017 thru 06/30/17	7/01/17 thru 12/31/17	
1	N. Whiteman/R. Wineholt	Apartment & Office Bldg. Assoc. of Metropolitan Wash.	9/27/2012	\$750.00	\$750.00	\$1,500.00
2	N. Greenbaum/R.Gaherty	Bainbridge - The Monty	12/17/2013	\$0.00	\$0.00	\$0.00
3	N. Greenbaum/C. Schaller	Brookfield Travilah	5/12/2016	\$0.00	\$0.00	\$0.00
4	N. Greenbaum/T.Burdette	Burdette Properties	12/3/2015	\$0.00	\$0.00	\$0.00
5	N. Greenbaum/J.Wyndham	EYA/Chevy Chase Lake	6/15/2015	\$0.00	\$0.00	\$0.00
6	N. Greenbaum/J.Wyndham	EYA/CSP Associates	11/5/2014	\$0.00	\$0.00	\$0.00
7	N. Greenbaum/A.Hayes	EYA/Rock Spring	11/3/2014	\$0.00	\$0.00	\$0.00
8	N. Greenbaum/J.Punda	Gables Residential	1/13/2015	\$0.00	\$0.00	\$0.00
9	N. Greenbaum/T.Cervený	Glenstone (Rales) Foundation	9/14/2011	\$0.00	\$0.00	\$0.00
10	B. Sears/E.Goldman	Mid Pike Plaza/Federal Real. Investment Trust	9/14/2011	\$0.00	\$0.00	\$0.00
11	D. Percy/Sarah Constant	Mission First Housing Development Corp.	9/26/2017	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>
		Total Compensation and Expenses		<u>\$ 750.00</u>	<u>\$750.00</u>	<u>\$1,500.00</u>

Appendix B
CY 2017 WSSC Board of Ethics Annual Report
Submitted on April 13, 2018