

**WASHINGTON SUBURBAN SANITARY COMMISSION**  
**BOARD OF ETHICS**  
**CALENDAR YEAR 2013 ANNUAL REPORT**

**Members:**

**George E. Pruden, II, Chair**

**Steven J. Hausman**

**Robert J. Moore**

**R. Wayne Keeler, Alternate Member**

## Washington Suburban Sanitary Commission Calendar Year 2013 Annual Ethics Report

This report covers conflicts of interest matters brought before the WSSC Board of Ethics (Board) and addresses lobbying activities before the WSSC during Calendar Year 2013.

The current WSSC Board members are Dr. Steven J. Hausman (Montgomery County), Mr. Robert J. Moore (Prince George's County), and Mr. George E. Pruden, II, (Prince George's County) as well as an alternate member, Mr. R. Wayne Keeler (Montgomery County). On January 16, 2013, Mr. Pruden was reappointed for an additional three-year term, and on February 15, 2013, he was appointed as Chair.

The Board convened twelve (12) times during 2013 to address three (3) Advisory Opinion Requests, five (5) Waiver Requests and three (3) Complaints. Appendix A represents a summary of all Advisory Opinions, Waiver Requests and Complaints addressed by the Board.

The WSSC Code of Ethics (Code) requires an individual to register as a lobbyist if s/he is compensated to influence executive or administrative actions by the WSSC. Appendix B represents a summary of lobbyist expenditures reported on the WSSC Lobbyist Activity Report.

The Board's website, <http://www.wsscwater.com/home/jsp/content/ethics-index.faces>, contains the Code of Ethics, Board of Ethics Rules of Procedure, Lobbyist Registration Information and the current Lobbyist listing as well as the Advisory Opinions, Waivers and Complaints to date.

Finally, we present the 2013 Ethics highlights:

- Pursuant to the Code, all WSSC Employees are required to complete annual disclosure statements, specifically, financial disclosure statements or conflict of interest statements. WSSC conducted its 2012 annual disclosure filing period, commencing April 1, 2013. To ensure accurate reporting, a detailed reporting system, including a dashboard, was implemented to track filing and status of annual disclosure filings.
- Additionally, the WSSC's Ethics Program continues to notify all new financial disclosure filers of their requirement to file within 30 days of WSSC employment as well as all financial disclosure filers of their requirement to file within 60 days after leaving the WSSC.
- All Employees must complete one (1) hour of annual Ethics training pursuant to the Code. For calendar year 2013, multiple training sessions were provided live to all plants, depots and at headquarters. Annual Ethics training commenced May 29, 2013 and ended October 15, 2013. Training is also provided to all new Employees upon commencement of employment with WSSC.
- WSSC continues to promote Corporate Compliance and Ethics Week annually.
- The Ethics Program commenced and regularly publishes Ethics updates and reminders in the internal Employee newsletter, Fish Tales.
- Pursuant to State Ethics Law, WSSC provided its current Code to the State Ethics Commission.
- GM/CEO sent guidance to all Employees regarding the solicitation or acceptance of gifts during the holiday season.

**CY 2013  
BOARD OF ETHICS  
ADVISORY OPINION REQUESTS**

<b>Advisory Opinion No.</b>	<b>Date Received</b>	<b>Request/Issue</b>	<b>WSSC Code of Ethics Section Referenced</b>	<b>Status/Final Determination</b>
A-12-06	Original request received 08/09/12; revised request received 08/28/2013	Employee initially inquired about opening a general practice law firm that includes personal and business representation in the Washington DC metropolitan area. Employee revised request to limit law practice in the areas of DWI/DUI defense in the Washington, DC and Maryland jurisdictions	§ 3-2	Advisory Opinion issued on 09/12/2013.
A-13-01	03/14/2013	Prior employee requested a waiver to act as an agent or a representative on behalf of a contractor on a contract with the Commission less than twelve months before prior employee left Commission	§ 3-3	Denial of Waiver issued as Advisory Opinion 13-01 on 05/02/2013.
A-13-02	12/12/2013	Employee inquired about working in the same line of work as employee's WSSC employment within the WSSC District.	§ 3-2	Advisory Opinion issued on 01/09/2014. Employee initially requested a Waiver, W-13-05 (see below), but subsequently, requested an Advisory Opinion regarding the same issue.

**CY 2013  
BOARD OF ETHICS  
WAIVER REQUESTS**

<b>Waiver Request No.</b>	<b>Date Received</b>	<b>Request/Issue</b>	<b>WSSC Code of Ethics Section Referenced</b>	<b>Disposition</b>
W-13-01	02/06/2013	Prior employee requested to change the starting period for the twelve month cooling off period to act as an agent or representative on behalf of a contractor on a WSSC matter from the date of separation to the severance date	§ 3-3	Request was rescinded 04/04/2013.
W-13-02	03/14/2013	Prior employee requested to act as an agent or representative on behalf of a contractor on a contract with the Commission less than twelve months before the prior employee left the Commission	§ 3-3	Denial of Waiver issued as Advisory Opinion 12-01 on 05/02/2013.
W-13-03	04/11/2013	Employee requested to participate in matters concerning a company that does business with employee's department, even though employee's spouse owns common stock shares in the company	§ 3-1	Granted 05/09/2013.
W-13-04	09/30/2012	Employee requested to teach for organization that provides certifications to WSSC employees and directly does business with employee's department	§ 3-2	Denied 12/12/2013.
W-13-05	11/1/2013	Employee requested to work in the same line of work as employee's WSSC employment within the WSSC District.	§ 3-2	Informed via 12/04/13 letter that Waiver Request did not meet standard. Employee subsequently requested Advisory Opinion, A-13-02 regarding the same issue.

**CY 2013  
BOARD OF ETHICS  
COMPLAINTS**

<b>Complaint No.</b>	<b>Date Received</b>	<b>Request/Issue</b>	<b>WSSC Code of Ethics Section Referenced</b>	<b>Disposition</b>
C-13-01	01/10/2013	Non-compliance with filing final financial disclosure statement	§ 5-2	Dismissed 10/10/2013. Final statement filed.
C-13-02	01/10/2013	<p>Allegation that employee was principal or employee of a WSSC subcontractor that is inspected by WSSC employees including employee</p> <p>Allegation that the same WSSC employee recruited other subcontractor employees to work for employee's alleged outside company</p> <p>Allegation that same WSSC employee took adverse action against other subcontractor based on authority as WSSC employee</p> <p>Allegation that same employee failed to list employment with alleged outside company on the annual financial statement</p>	§§ 3-1, § 3-2 and 3-4 and Articles 4 and 5	Adjudicatory hearing was held June 13, 2013 and July 2, 2013. Dismissed alleged violations of Code of Ethics §§ 3-1, 3-2, 3-4 and 3-6(a). Sustained alleged violation of Article 5, specifically §§ 5-1 and 5-2. Reprimand issued.
C-13-04	04/11/2013	Non-compliance with filing final financial disclosure statement	§ 5-2	Dismissed 05/09/2013. Final statement filed.

**CY 2013 – LOBBYISTS EXPENSES FOR EACH COMPANY  
AS REPORTED ON THE WSSC LOBBYIST ACTIVITY REPORT**

	LOBBYIST	COMPANY	DATE OF REGISTRATION	REPORTING PERIOD		Total
				1/1/2013 thru 06/30/13	7/01/13 thru 12/31/13	
1	R. Wineholt / W.S. Pharr	Apartment & Office Bldg. Assoc. of Metropolitan Wash.	09/27/12	\$0.00	\$0.00	\$0.00
2	N. Greenbaum	Bainbridge - St. Elmo	12/17/13	\$0.00	\$425.00	\$425.00
3	N. Greenbaum	Belford Towers, LLC/Lightstone Group	03/14/12	\$0.00	\$0.00	\$0.00
4	N. Greenbaum	Cabin Branch Management	05/28/13	\$1,275.00	\$0.00	\$1,275.00
5	N. Greenbaum	R. Dubin - WSSC Easement and W&S Matters	06/10/13	\$513.58	\$212.50	\$726.08
6	N. Greenbaum	Emmanuel Baptist Church	07/11/13	\$0.00	\$2,125.00	\$2,125.00
7	N. Greenbaum	Joel Fernebok	09/25/13	\$0.00	\$106.25	\$106.25
8	N. Greenbaum	Glenstone Foundation	09/14/11	\$2,549.50	\$14,558.38	\$17,107.88
9	N. Greenbaum	Harmony Place Associates, LLC	11/14/11	\$0.00	\$0.00	\$0.00
10	N. Greenbaum	Stanley Martin Homes	02/25/13	\$1,487.50	\$531.25	\$2,018.75
11	N. Greenbaum	Mid Pike Plaza/Federal Realty Investment Trust	09/14/11	\$1,275.00	\$10,178.75	\$11,453.75
12	N. Greenbaum	Miller and Smith	06/04/13	\$0.00	\$212.50	\$212.50
13	N. Greenbaum	Olney Assisted Living	03/19/12	\$0.00	\$0.00	\$0.00
14	N. Greenbaum	Potomac Vista Corporation	11/18/11	\$0.00	\$0.00	\$0.00
15	N. Greenbaum	Sun Brook Partners	01/20/11	\$7,225.00	\$106.25	\$7,331.25
16	N. Greenbaum	Woodfield Investments	01/25/13	<u>\$6,162.50</u>	<u>\$0.00</u>	<u>\$6,162.50</u>
<b>Total Compensation and Expenses</b>				<u>\$20,488.08</u>	<u>\$28,455.88</u>	<u>\$48,943.96</u>

**LOBBYIST REGISTERED WITH WSSC WHO DID NOT  
FILE REPORTS IN CY 2013**

	LOBBYIST	COMPANY	DATE OF REGISTRATION
1	A. Bradley Mims	Laborers International Union of North America (LIUNA) - Mid Atlantic	01/28/13

**APPENDIX B**