



**DISTRICT OF COLUMBIA
WATER AND SEWER AUTHORITY**

Board of Directors

Governance Committee

September 9, 2015

9:00 a.m.

- 1. Call to Order..... Chairperson
- 2. [DC Water Works! Employment Programs Update](#).....Korey Gray, Compliance Officer
- 3. [Conflict of Interest/Financial Disclosure Form/Standards of Conduct](#).....Randy Hayman, General Counsel
- 4. [Green Infrastructure Certification Program](#).....Carlton Ray, Director, LTCP
Clean Rivers, DETS
- 5. Emerging Issues and Other Business.....Chairperson
- 6. Agenda for Upcoming Committee Meeting (TBD).....Chairperson
- 7. Executive Session – To discuss legal, confidential and privileged matters pursuant to Sections 2-575 of the D.C. Official Code*
- 8. Adjournment.....Chairperson

1 The DC Water Board of Directors may go into executive session at this meeting pursuant to the District of Columbia Open Meetings Act of 2010, if such action is approved by a majority vote of the Board members who constitute a quorum to discuss: matters prohibited from public disclosure pursuant to a court order or law under D.C. Official Code § 2-575(b)(1); contract negotiations under D.C. Official Code § 2-575(b)(1); legal, confidential or privileged matters under D.C. Official Code § 2-575(b)(4); collective bargaining negotiations under D.C. Official Code § 2-575(b)(5); facility security under D.C. Official Code § 2-575(b)(8); disciplinary matters under D.C. Official Code § 2-575(b)(9); personnel matters under D.C. Official Code § 2-575(b)(10);proprietary matters under D.C. Official Code § 2-575(b)(11); decision in an adjudication action under D.C. Official Code § 2-575(b)(13); civil or criminal matters where disclosure to the public may harm the investigation under D.C. Official Code § 2-575(b)(14), and other matters provided in the Act.



District of Columbia Water and Sewer Authority
George S. Hawkins, CEO and General Manager



PROGRAMS UPDATE

Presented to the
Governance Committee
Ellen Boardman, Chairperson

Wednesday, September 9, 2015



District of Columbia Water and Sewer Authority
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FY 2015 DC Water Contractor Employment Data



District of Columbia Water and Sewer Authority
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FY 2015 DC Water Goods and Services Employment Data

Goods and Services Contracts: Agreements whereby a contractor/consultant supplies a good (tangible product) time, effort, and/or expertise (e.g., outside contractors, janitorial services, security and fleet services excluding professional services, legal, financial & AE)

The following data summarizes the non-major construction employment data for FY 15, as of August 31, 2015

- Total Number of Active Projects: 44
 - Two (2) new projects became active since previous report.
 - Since the last report, the total number of positions on Goods and Service projects increased by 17.
 - There were twelve (12) transfers.
 - There were five (5) new hires.

	As of July Report	As of September Report	Increase Of
Total	608	625	17
User Jurisdiction Workforce	352	369	17
DC Workforce	116	122	6
Total New Hires	24	29	5
User Jurisdiction New Hires	20	25	5
DC New Hires	11	13	2



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FY 2015 DC Water Goods and Services Employment Data

Goods and Services Contracts: Agreements whereby a contractor/consultant supplies a good (tangible product) time, effort, and/or expertise (e.g., outside contractors, janitorial services, security and fleet services excluding professional services, legal, financial & AE)

The following data summarizes the Goods and Services employment data (cumulative) for FY 15, as of August 31, 2015

In FY 15 (thru August 31, 2015), there were:

- 625 contractor job positions on Goods and Services contracts.
 - 369 positions (59%) were filled (transfers and new hires) by residents within DC Water’s User Jurisdiction.
 - 122 positions (19%) were filled (transfers and new hires) by District of Columbia residents.
 - Goods and Services new hires: 29
 - 25 new hires were from the DC Water User Jurisdiction

	# of Positions	%
➤ User Jurisdiction	369	59%
○ DC	122	19.5%
○ PGC	112	17.9%
○ MC	56	9.0%
○ FC	73	11.7%
○ LC	6	1%
➤ OTH MD	106	17.0%
➤ OTH VA	76	12.2%
➤ Outside User Jurisdiction	74	11.8%
Total	625	



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FY 2015 DC Water Non-Major Construction Projects Employment Data

The following data summarizes the non-major construction employment data (cumulative) for FY 15, as of August 31, 2015

- Total Number of Active Projects: 37
 - One Project which was “dormant” became active again this summer.
 - Since the last report, the total number of positions on non major construction projects increased by 58.
 - There were forty-two (42) transfers.
 - There were five (5) new hires.

	As of July Report	As of September Report	Increase Of
Total	1549	1607	58
User Jurisdiction Workforce	1064	1101	37
DC Workforce	254	263	9
Total New Hires	46	51	5
User Jurisdiction New Hires	37	41	4
DC New Hires	11	14	3



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FY 2015 DC Water Non-Major Construction Projects Employment Data

The following data summarizes the non-major construction employment data for FY 15, as of August 31, 2015

In FY 15 (thru August 31, 2015), there were:

- 1,607 contractor job positions on Non-Major Construction contracts.
 - 1,101 positions (68%) were filled (transfers and new hires) by residents within DC Water’s User Jurisdiction.
 - 263 positions (16%) were filled (transfers and new hires) by District of Columbia residents.
 - Non-Major Construction new hires: 51
 - 41 new hires were from the DC Water User Jurisdiction

	# of Positions	%
➤ User Jurisdiction	1,101	68.5%
○ DC	263	16.4%
○ PGC	516	32.1%
○ MC	121	7.5%
○ FC	196	12.2%
○ LC	5	.3%
➤ OTH MD	232	14.4%
➤ OTH VA	118	7.3%
➤ Outside User Jurisdiction	156	9.7%
Total	1,607	



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FY 2015 DC Water Major Construction Projects Employment Data

(e.g., Clean Rivers, Enhanced Nitrogen Removal, Tunnel Dewatering Pump Stations and Biosolids Management)

The following data summarizes the major construction employment data for FY 15, as of August 31, 2015

- Total Number of Active Projects: 14
 - Three (3) Clean Rivers Projects became active since last report.
 - Since the last report, the total number of positions on the Major Projects increased by 83.
 - There were sixty-four (64) transfers.
 - There were nineteen (19) new hires.

	As of July Report	As of September Report	Increase Of
Total	2836	2919	83
User Jurisdiction Workforce	1346	1397	51
DC Workforce	325	331	6
Total New Hires	33	52	19
UJ New Hires	27	44	17
DC New Hires	8	10	2



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FY 2015 DC Water Major Construction Projects Employment Data

(e.g., Clean Rivers, Enhanced Nitrogen Removal, Tunnel Dewatering Pump Stations and Biosolids Management)

The following data summarizes the major construction employment data (Cumulative) for FY 15, as of August 31, 2015

In FY 15 (thru August 31, 2015), there were:

- 2,919 contractor job positions on Major Construction contracts.
 - 1,397 positions (48%) were filled (transfers and new hires) by residents within DC Water’s User Jurisdiction.
 - 331 positions (11%) were filled (transfers and new hires) by District of Columbia residents.
 - Major Construction new hires: 52
 - 44 new hires were from the DC Water User Jurisdiction

	# of Positions	%
➤ User Jurisdiction	1,397	47.8%
○ DC	331	11.0%
○ PGC	512	17.5%
○ MC	186	6.4%
○ FC	287	9.8%
○ LC	81	2.8%
➤ OTH MD	495	16.9%
➤ OTH VA	537	18.4%
➤ Outside User Jurisdiction	490	16.8%
Total	2919	



District of Columbia Water and Sewer Authority
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FY 2015 Contractor New Hires

DC Water Job Center Highlights

Table 4: New Hires through DC Water's Job Center (October 2014- August 2015)

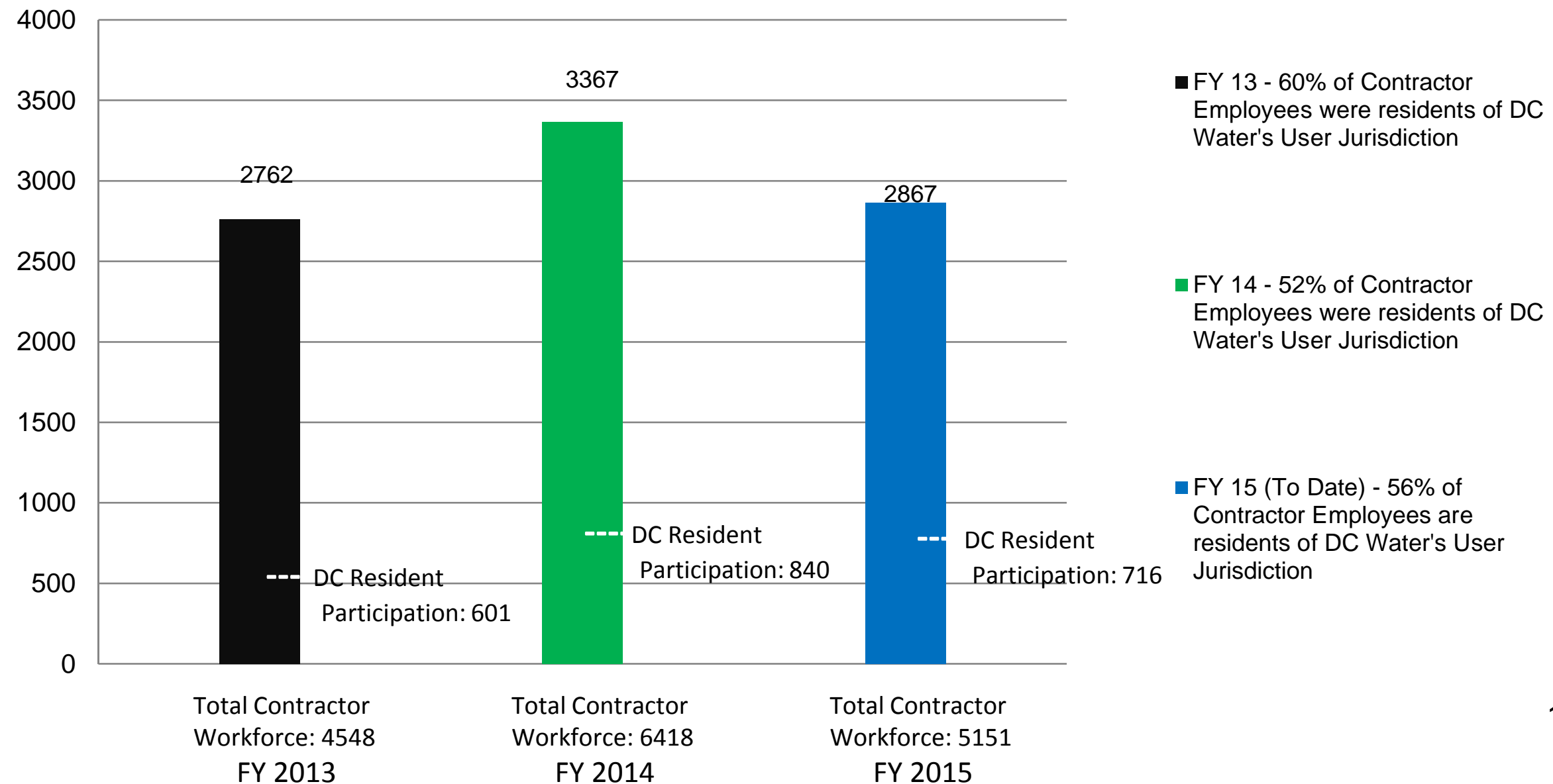
Contractor	Positions Hired	Resident Location	New Hires Reported
PC Construction	Carpenter	Prince George's County	1
	Carpenter	Montgomery County	1
	Carpenter	Fairfax County	6
	Carpenter	Outside User Jurisdiction	1
	Skilled Laborer	Prince George's County	3
	Skilled Laborer	Montgomery County	1
	Form Setter	Fairfax, VA	1
	Safety	Fairfax, VA	1
Corman Construction	Skilled Laborer	Washington, DC	1
Fort Myer	Skilled Laborer	Washington, DC	1
Ulliman Schutte	Skilled Laborer	Washington, DC	4
	Skilled Laborer	Fairfax, VA	3
	Skilled Laborer	Prince George's County	3
	Millwright	Fairfax, VA	2
Bulldog Construction	Class A Driver	Washington, DC	1
EE Cruz	Administrative Asst	Fairfax County	1
	Administrative Asst	Washington, DC	1
	Environmental Engineer	Fairfax County	1
	Flagger	Prince George's County	1
	Skilled Laborer	Washington, DC	1
Million Construction	Laborer	Washington, DC	1
Total New Hires Reported			36



District of Columbia Water and Sewer Authority
George S. Hawkins, CEO and General Manager

FY 2015 WaterWorks Highlights

DC Water Contractor Employment Data (Total Workforce) Three Year Review

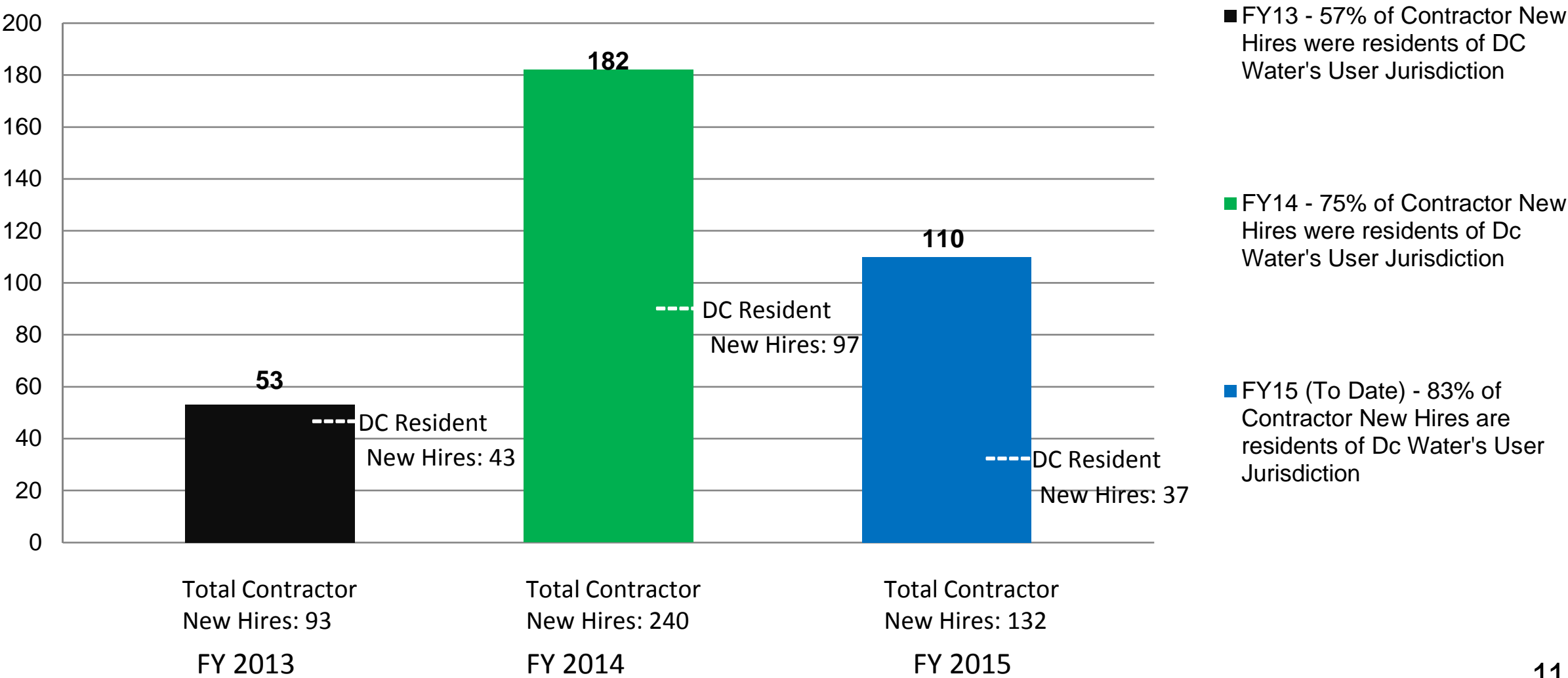




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FY 2015 WaterWorks Highlights

DC Water Contractor New Hire Data Three Year Review





District of Columbia Water and Sewer Authority
George S. Hawkins, General Manager

Standards of Conduct Policy and Disclosure Statement

***Presented by Randy Hayman, General Counsel
September 9, 2015***



Background

- DC Water has been developing a consolidated set of Standards of Conduct to address ethical standards and conflicts of interest
- DC Council is considering Bill 21-0250, drafted by the DC Board of Ethics and Government Accountability (BEGA). Bill 21-0250 would consolidate current Merit Personnel System ethics/code of conduct regulations and other rules into the DC Code, so that the DC Code itself would impose a more detailed, comprehensive code of conduct on District Government public officials and employees
- Council is expected to act on BEGA's proposed legislation in late 2015
- DC Water Board Members, as public officials, are subject to standards of conduct currently in effect and as proposed in BEGA legislation
- DC Water's proposed Standards of Conduct generally track the proposed BEGA legislation and would apply to DC Water employees



General Principles

16 general principles guide employee conduct

Key principles include:

- Maintain high level of ethical conduct in performing duties and refrain from action which would adversely affect public's confidence in integrity of DC Water
- Use DC Water resources only for authorized activities
- Do not give preferential treatment to any organization or individual
- Take no actions creating the appearance that employee is violating the law or ethical standards
- Satisfy lawful obligations, including financial obligations to federal, state, District and local governments

Ref: DC Code §1-1161.01(7); DCMR §6-B1800;
Bill 21-0250, §223b(c)



General Principles (cont.)

- Do not hold personal or financial interests that conflict with the conscientious performance of DC Water duties
- Do not engage in financial or other transactions using nonpublic government information or allow the improper use of such information to further any private interest
- Do not solicit or accept any gift or other item of monetary value from a prohibited source.
- Do not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with DC Water duties

Ref: DC Code §1-1161.01(7); DCMR §6-B1800;
Bill 21-0250 §223b(c)



Outside Activities

- An employee may not engage in outside employment, private business or other professional or personal outside activity, with or without compensation, which interferes with, conflicts with, would appear to conflict with, or is incompatible with the performance of employee's DC Water responsibilities
- Permitted outside activity must occur on employee's own time and may not involve DC Water resources

Ref: DC Code §1-1161.01(7); DCMR §6-B1807;
Bill 21-0250 §223g



Financial and Personal Interests; Contract Award and Administration

- An employee may not have direct or indirect financial or personal interest in any transaction or procurement for DC Water
- An employee may not participate in or attempt to influence a transaction in which the employee, immediate family member or an organization with which the employee is involved (affiliated organization) has a personal or financial interest
- An employee may not participate in or attempt to influence any transaction if employee or employee's immediate family member has an arrangement for prospective employment with the entity involved in the transaction
- An employee may not participate in a contract award or administration where there is an actual or potential conflict of interest, i.e., when employee, immediate family member, or affiliated organization has a financial or other interest in the contract

Ref. DC Code §1-1161.01(7); DCMR §§6-B1805 and B1807; Bill 21-0250 §223c



Gifts

- An employee may not, directly or indirectly, give or accept gifts, payments, or other favors that influence, or appear to influence, performance of duties
- An employee may not, directly or indirectly, solicit or accept any gift from an entity that: (1) has, or is seeking to obtain a contract for goods or services with DC Water; (2) conducts operations that may be affected by DC Water activities; or (3) has an interest that may be affected by the performance or nonperformance of the employee's duties (Prohibited Source)
- Exceptions:
 - Unsolicited gifts of \$20 value per occasion; \$50 annual limit on all gifts from one source (current DCMR limits are \$10/occasion; \$20/single source)
 - Free event attendance from event sponsors where employee is speaking as DC Water representative

Ref: DC Code §1-1161.01(7); DCMR §6-B1803;
Bill 21-0250 §§223h-i



Present and Former Employment

All Employees

- An employee who was previously employed with a contractor doing business with DC Water may not supervise or review work of that contractor
- An employee who participates in the selection of a contract or contractor, or who supervises a contract, may not thereafter be employed by the contractor with respect to that contract
- For 18 months following separation from DC Water, a former employee may not work for another employer on, or assist any other person with respect to, any project in which the employee was personally and substantially involved while at DC Water

Ref: DC Code §1-1161.01(7); DCMR §6-B1811;
Bill 21-0250 §223m



Present and Former Employment (cont.)

Senior Employees

- Employees with procurement or policymaking duties (Senior Employees) may not, for one year after leaving DC Water, have any transactions with DC Water intended to influence DC Water in connection with any matter in which DC Water has a direct and substantial interest
- Intent is to prohibit use of personal influence based on past affiliation with DC Water
- Prohibition applies regardless of whether the Senior Employee had participated in, or had responsibility for, the particular matter, and includes matters first arising after separation from DC Water

Ref: DC Code §1-1161.01(7); DCMR §6-B1811;
Bill 21-0250 §223m



Present and Former Employment (cont.)

New Hires

- A new employee that will be either a director or above or a Senior Employee must disclose prior employment relationships that may create actual or potential conflicts of interest, including ongoing economic benefits from former employers
- If a relationship is found to pose an actual or potential conflict of interest, employee may not participate in projects with former employer for one year
- Prohibition continues for the life of any former employer economic benefit

Exemptions

- General Manager may grant written exemptions to employment prohibitions, based to an individual's particular scientific, technological, or other qualifications, in order to serve the best interests of DC Water

Ref. DC Code §1-1161.01(7); DCMR §6-B1805;
Bill 21-0250 §223m



Confidential Financial Disclosure Statement and Conflict of Interest Form

- By May 15, Senior Employees and other employees with substantial procurement or policymaking duties must submit Confidential Financial Disclosure Statement and Conflict of Interest Form (Disclosure Statement)
- By April 15, each year, General Manager, in consultation with General Counsel, Deputy General Manager, Procurement Director and Internal Auditor shall identify employees required to file Disclosure Statement
- Disclosure Statement of General Manager is submitted to and reviewed by Chairman of Board
- Disclosure Statements of General Manager direct reports are submitted to and reviewed by General Manager
- Disclosure Statements of other employees are submitted to and reviewed by Office of General Counsel

Ref. DC Code §§1-1162.24-25; DCMR §6-B1810;
Bill 21-0250 §223o



Confidential Financial Disclosure Statement and Conflict of Interest Form (cont.)

Disclosure Statements generally track information required under current and proposed BEGA standards and report data from prior calendar year of employee and members of employee's household concerning:

- Transactions valued at \$500 or more between DC Water and employee, household member or organization in which employee or household member has interest
- Business entities in which employee or household member has financial interests, including securities owned, business relationships, income producing activities; director or consulting relationships, and other employment relationships
- Reporting threshold: Securities with aggregate value of \$1,000 and activities/relationships producing more than \$200/year in income

Ref. DC Code §§1-1162.24-25; DCMR §6-B1810;
Bill 21-0250 §223o



Confidential Financial Disclosure Statement and Conflict of Interest Form (cont.)

- Personal liabilities exceeding \$1,000 (excluding revolving credit or debt from federal or state insured or regulated financial institution)
- Real property located in the District (excluding personal residence)
- Professional or occupational licenses issued by the District held by employee or a member of the employee's household
- Gifts received from a Prohibited Source

Disclosure Statements must be updated during year for material changes to previously reported data

Actual or potential conflicts of interest revealed by Disclosure Statements are referred to managers and/or Office of General Counsel for resolution

Ref. DC Code §§1-1162.24-25; DCMR §6-B1810;
Bill 21-0250 §223o



Questions and Answers

Draft -DC Water Standards of Conduct

Standard of Conduct Policy

1.0 POLICY

The Authority is grounded in a set of core values that we embrace and consistently strive to implement in our daily work: Be respectful, responsive, and sensitive to the needs of our customers and employees; practice ethical and professional conduct; be vigilant to ensure optimal health, safety, and environmental outcomes; dedication to teamwork and cooperation; and commitment to equity, trust, and integrity in all that we do.

All employees are expected to practice ethical and professional conduct at all times. The Authority's Standards of Conduct are designed to help ensure that we conduct our business consistent with these core values and to assist us in carrying out the Authority's mission - to serve all of our customers with outstanding service by providing reliable and cost-effective water and wastewater treatment in accordance with best practices.

1.1 Compliance with Laws, Rules and Regulations

Obeying the law, both in letter and in spirit, is the foundation on which the Authority's ethical standards are built. All employees must respect and obey the laws, rules and regulations of the District of Columbia and the United States.

1.2 Professional Relationships

As a customer service organization, the ability of the Authority and all of its employees to deal effectively with customers and the public at large, and to project an appropriate image, is extremely important. The Authority takes considerable pride in its reputation as a provider of world-class water and wastewater treatment services with outstanding customer service. The Authority appreciates that its reputation depends on the cooperation and dedication of all Authority employees to fulfill their obligations to consumers and the community in which we serve.

To ensure that the Authority's high standards are maintained, all Authority employees are expected to use professional discretion and sound judgment at all times, both inside and outside of the Authority's facilities and offices.

Respect for others, proper business manners and a mature, professional work attitude reflect on each of us and on the Authority as a whole.

1.3 Conflicts of Interest

1.3.1 General Standards The highest standards of ethical conduct are expected of all Authority employees in carrying out their responsibilities. It is essential for all employees to avoid any actual or apparent conflict of interest with the Authority. A conflict of interest exists when an individual is involved in an activity or has personal interest that would interfere with that individual's objectivity in performing his or her duties and responsibilities on behalf of the Authority or in providing service to the Authority's customers.

No employee shall participate in any matter involving the Authority or attempt to influence the outcome of a particular matter in a manner that the employee knows is likely to have a direct and predictable effect on a personal interest or financial interest of the employee, immediate family member or an affiliated organization.

These Standards of Conduct include provisions addressing specific situations. Providing an exhaustive list of every circumstance that could give rise to a conflict of interest is not feasible. However, where a situation is not specifically covered by another provision of these Standards, the following principles should guide employees in their conduct:

1.3.1.1 Employees shall at all times maintain a high level of ethical conduct in the performance of their duties, and shall refrain from taking, ordering, or participating in any action which would adversely affect the confidence of the public in the integrity of the Authority. Employees shall strive to act solely in the public interest and not for any private gain or take any action on a matter as to which they have a conflict of interest created by a personal interest, avoiding both actual and perceived conflicts of interest and preferential treatment.

1.3.1.2 Employees shall take full responsibility for understanding and complying with the letter and spirit of all laws and regulations governing standards of conduct for Authority employees, including those relating to conduct, conflicts of interest, gifts, financial disclosures, campaign finance, and political activity.

1.3.1.3 Employees shall strive to perform their duties in a proper and efficient manner.

1.3.1.4 Employees shall protect and conserve Authority resources and shall not use them for other than authorized activities.

1.3.1.5 Employees shall not knowingly make unauthorized commitments or promises of any kind purporting to bind the Authority.

1.3.1.6 Employees shall act impartially and not give preferential treatment to any private organization or individual.

1.3.1.7 Employees shall not take actions creating the appearance that they are violating the law or the ethical standards set forth in these Standards of Conduct. Whether particular circumstances create an appearance that the law or the ethical standards have been violated shall be determined from the perspective of a reasonable person with knowledge of the relevant facts.

1.3.1.8 Employees shall satisfy in good faith their lawful obligations, including all just financial obligations to federal, state, District and local governments.

1.3.1.9 Employees shall not hold personal interests or financial interests that conflict with the conscientious performance of their duties.

1.3.1.10 Employees shall not engage in financial or other transactions using nonpublic government information or allow the improper use of such information to further any private interest.

1.3.1.11 Employees shall not, except as permitted by section 1.3.9, solicit or accept any gift or other item of monetary value from a prohibited source.

1.3.1.12 Employees shall not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with their Authority duties.

1.3.1.13 Employees shall report credible violations of these Standards of Conduct to the Office of General Counsel or other individual designated by the Authority to hear such matters.

1.3.1.14 Coercive, harassing, or retaliatory action shall not be taken against any employee acting in good faith under these Standards of Conduct.

1.3.1.15 Employees shall not do indirectly what they may not do directly under these Standards of Conduct.

1.3.1.16 Employees shall not aid, abet, counsel, command, induce, or procure any violation of these Standards of Conduct.

1.3.2 Outside Employment and Other Activities

An employee may not engage in outside employment, private business or other professional or personal outside activity, with or without compensation, which interferes with, conflicts with, would appear to conflict with, or is incompatible with the performance of his or her responsibility to the Authority or the principles set forth in Section 1.3.1 of these Standards of Conduct.

Employees may engage in outside employment or private business provided the following conditions are met:

1.3.2.1 The outside employment or activity does not interfere with the full and proper discharge of his or her duties and responsibilities as an Authority employee.

1.3.2.2 The outside employment or activity is conducted on the employee's own time without the use of Authority facilities, funds, supplies, staff or resources.

1.3.2.3 The outside employment or activity does not conflict with any Authority activity, policy, or the principles set forth in Section 1.3.1 of these Standards of Conduct.

1.3.2.4 The outside employment or activity does not impair the employee's mental or physical capacity to carry out his or her duties and responsibilities as an Authority employee in a proper and efficient manner.

1.3.3 Financial Interest/Personal Interest

An employee may not have direct or indirect financial interest, or a personal interest in any transaction or procurement for the Authority. An employee may not participate in or attempt to influence any transaction or procurement where:

1.3.3.1 The employee has a personal interest or the employee, a member of employee's immediate family or an affiliated organization has a financial interest in the transaction or procurement; or

1.3.3.2 The employee or a member of employee's immediate family has an agreement or arrangement for prospective employment with a business or organization involved with the business transaction or procurement.

1.3.4 Selection, Award or Administration of Contracts

An employee may not participate in the selection, award or administration of a contract by the Authority if a conflict of interest, actual or the appearance of, would be involved. A conflict of interest will be deemed to exist when the employee, the employee's immediate family, or an affiliated organization has a financial or other interest in the contract or

subcontract or is a prospective prime contractor, subcontractor or supplier to the prime contractor.

1.3.5 Real or Personal Property

An Authority employee may not have a financial interest, either directly or indirectly, in any contract, sale, purchase, lease or transfer of real or personal property to which the Authority is a party and the employee is involved in on behalf of the Authority. When purchasing or otherwise engaging in transactions involving real estate or personal property, an Authority employee may not use information gained through his or her employment with the Authority, unless such information is generally available to the public.

1.3.6 Use of Non-Public Information

An employee may not use or permit others to use information, not otherwise available to the general public, obtained by reason of his or her employment with the Authority to further his or her own financial interest or personal interest or the financial interests of a member of the employee's immediate family, a prospective employer of the employee or an immediate family member, or a party to any actual or prospective financial transaction with the Authority, or the interest of an affiliated organization. This prohibition does not apply to information available to the public.

1.3.7 Unauthorized Disclosure/Release of Information

An Authority employee may not disclose information obtained through their official position with the Authority, and not available to the public, to anyone outside of the Authority. An employee may not disclose proprietary and/or confidential information to any person other than Authority employees who need access to the information as part of their duties for the Authority.

1.3.8 Use of Official Position

An employee has a duty to protect and conserve Authority resources and not use such resources, or allow their use, for other than authorized purposes. An employee may not:

1.3.8.1 Use his or her position to make or authorize any expenditures of funds or take any other actions in violation of federal, state, local or other applicable laws and regulations or applicable Authority regulations, policies, regulations, directives or instructions.

1.3.8.2 Use his or her position with the Authority to induce, coerce or give the appearance of inducing or coercing, another person to grant or deny a benefit, financial or otherwise, to him or herself or to some other person, entity or organization.

1.3.8.3 Use his or her position with the Authority in a manner which is motivated by or gives the appearance of being motivated by the desire for personal gain or benefit or by the desire to advance or hinder the interest of a particular individual or business entity.

1.3.8.4 Use or permit the use of his or her position with the Authority in a manner that could reasonably be construed to imply that the Authority sanctions or endorses the personal or business activities of another, unless the Authority has officially sanctioned or endorsed the activities.

1.3.9 Gratuities, Gifts, Favors and Other Compensation

1.3.9.1 To avoid conflicts of interest and the appearance of impropriety, Authority employees may not, directly or indirectly, give or accept gifts, payments, fees or services or other favors that influence, or appear to influence, the performance of their duties. In particular, employees may not, directly or indirectly, solicit or accept any gift from an individual or organization that: (1) has, or is seeking to obtain, a contract for goods or services with the Authority; (2) conducts an operation or activity that may be affected by the Authority's activities; or (3) has an interest that may be affected by the performance or nonperformance of the employee's duties.

1.3.9.2 For purposes of this section, a gift that is solicited, accepted or given indirectly, includes a gift made, with the employee's knowledge and acquiescence, to the employee, employee's immediate family, or an affiliated organization.

1.3.9.3 An employee may accept unsolicited gifts having a market value of \$20 or less per source per occasion, provided that the cumulative fair market value of individual gifts received from any single source in a calendar year may not exceed \$50, except when the offer of the gift would appear to a reasonable person to be intended to influence the employee in the employee's official duties.

1.3.9.4 An employee may accept meals or entertainment of nominal value on infrequent occasions in the normal course of business, when such benefits have not been offered or enhanced because of the employee's position with the Authority. In addition, the acceptance of unsolicited gifts of nominal value is permitted when the gifts are of such nature as to indicate that they are merely tokens of respect or friendship and could not be construed as a bribe, payoff or secret compensation. Employees are permitted to accept advertising or promotional materials of modest or incidental value (e.g., pens, note pads, key chains, etc.).

1.3.9.5 When an employee participates as a speaker to present information on behalf of the Authority at a conference or similar event, the employee may accept an offer of free attendance at the event on the day of the employee's appearance when provided by the sponsor of the event, provided that the employee's participation shall be authorized in writing and in advance of the event by the employee's supervisor.

1.3.9.6 Employees may accept awards from organizations recognizing meritorious achievement as among their peers, provided that such award does not fall within the prohibitions previously listed in this Section 1.3.9.

1.3.9.7 Employees are expected to exercise good judgment in these matters. If an employee has questions concerning the appropriateness of a gift or other item of value, the employee should contact the General Counsel or its designee, who will then make a decision as to the disposition of the gift.

1.4 Personal Use of Authority Resources

The Authority's resources, including an employee's time and attention during work hours, supplies, equipment, and information are intended for conducting the Authority's business. Employees are expected to act responsibly at all times, to exercise good judgment and act in a professional manner whenever using the Authority's resources.

The use of telephones, personal computers, copiers and similar office equipment should be guided by the following additional considerations:

1.4.1 Use must not be related to any illegal activity or the conduct of an outside business;

1.4.2 Use should not interfere with the conduct of the Authority's business or impair or delay the Authority's ability to provide service to customers;

1.4.3 Use should not cause undesirable publicity or embarrassment to the Authority;

1.4.4 Use should not be in support of any outside organization activity, except for approved public interest matters; and

1.4.5 Use should not violate any other Authority policy or procedure (e.g., harassment, e-mail, etc.).

1.5 Personal Relationships

The Authority makes substantial efforts to avoid any risk of compromising its professional objectivity and reputation. Therefore, it is inappropriate for Authority employees to have a personal relationship beyond friendship with those who are subject to their supervision or with whom they have a reporting relationship, or with any contractor or vendor with whom they have dealings as a representative of the Authority.

1.6 Contingent Contracts

An employee shall not solicit or secure, or offer to solicit or secure, a contract on behalf of the Authority for which the individual, a member of the employee's immediate family, or an affiliated organization is paid or is to be paid any fee or other consideration contingent on the making of the contract.

1.7 Restrictions on Employment of Present and Former Employees

1.7.1 An employee of the Authority who, prior to employment by the Authority, worked for a contractor or who was a contractor doing business with the Authority is prohibited from supervising, directing or reviewing the work of such contractor for the Authority.

1.7.2 An employee who participates on the Authority's behalf in the selection of a contractor or participates in the approval process of a contract or contract modification or supervises contract implementation shall not, following separation from the Authority, be employed by the contractor in question with respect to the performance of such contract or contract modification.

1.7.3 For eighteen (18) months following an employee's separation from the Authority, such employee shall be barred from working on behalf of any other employer or assisting any other person on any project in which the employee was personally and substantially involved while employed by the Authority.

1.7.4 For one year following a senior employee's separation from the Authority, such senior employee shall not have any transactions with the Authority intended to influence the Authority in connection with any particular matter in which the Authority has a direct and substantial interest. The restriction in this subsection is intended to prohibit the possible use of personal influence based on past affiliation with the Authority and shall apply without regard to whether the senior employee had participated in, or had responsibility for, the particular matter, and shall include matters that first arise after the employee separates from the Authority.

1.7.5 The General Manager may exempt an employee (or former employee) from the restrictions in this Section, provided the General Manager documents in writing that such employee (or former employee) has particular scientific, technological, or other qualifications

such that permitting such person to work on otherwise prohibited Authority matters would serve the best interests of the Authority.

1.8 Restrictions on New Employees

1.8.1 Each new employee that will either 1) hold the position of director or above or 2) be a senior employee, shall provide a completed disclosure statement within 15 days of being hired and shall disclose all prior employment relationships that may create an actual or potential conflict of interest, including any ongoing economic benefit to the employee from a former employer. The General Manager, in consultation with the Office of General Counsel, shall determine whether such former employment relationship creates an actual or potential conflict of interest. In the event the General Manager determines such an actual or potential conflict of interest exists:

1.8.1.1 For one (1) year after the date of initial employment with the Authority, such employee shall not participate in any manner, in the Authority's decision to enter into, extend, modify, or renew a contract or consultancy engagement with the employee's former employer. In the event the employee receives an ongoing economic benefit from a former employer, such exclusion shall continue for the life of such benefit.

1.8.1.2 The General Manager may authorize an employee otherwise subject to exclusion under this section to participate in the oversight or review of the work-product or performance of a former employer, provided that the General Manager makes a written determination that, in light of all relevant circumstances, the Authority's interest in such employee outweighs the concern that a reasonable person might question the integrity of the Authority.

2.0 SCOPE

This policy applies to all Authority employees and, as otherwise noted, former Authority employees.

3.0 DEFINITIONS

Affiliated Organization - shall mean an organization or entity 1) in which the employee or a member of employee's immediate family serves as officer, director, trustee, general partner, or employee; 2) in which the employee or a member of employee's immediate family is a director, officer, owner, employee, or holder of stock worth \$1,000 or more at fair market value; or 3) that is a client of the employee or a member of employee's immediate family; or 4) with which an employee or a member of the employee's immediate family is negotiating for or has an arrangement with concerning prospective employment.

Personal Interest - shall mean an interest that, while not directly financially advantageous, would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the employee in a particular matter. Personal interests include, without limitation, benefits to the employee, benefits to immediate family members and affiliated organizations, including reputation or business good will, job or career advancement, close personal friendships, and memberships in groups and organizations.

Prospective employment - shall mean any contact regarding future employment whether initiated by the Authority employee, a member of the employee's immediate family, or a potential employer and includes, without limitation, exchange of letters, applications or resumes and telephone or personal conversations conveying an offer of or request for employment together with any negotiations related thereto.

Employment - shall mean full-time, part-time, regular or temporary work for compensation and includes self-employment, work as an independent contractor, home-based businesses, consulting or other

professional services. Employment shall be deemed to exist if there is a regular relationship with a party, even if there is no significant relationship at the time a disclosure form is filed.

Employee household – shall mean an employee, employee’s spouse, domestic partner, and dependent children.

Friendship - shall mean the platonic, cooperative and supportive relationship between two or more people.

Financial interest - shall mean an actual or potential expectancy of receiving a benefit in the form of money or any other thing of value.

Free attendance – shall include waiver of all or part of a widely attended gathering of other fee or the provision of food, refreshments, entertainment, instruction and materials furnished to all attendees as an integral part of the event. Free attendance does not include travel expenses, lodgings, entertainment collateral to the event, or meals taken other than in a group setting in which all other attendees are invited.

Immediate family - shall mean an employee’s spouse, domestic partner, child, step-child, parent, step-parent, grandparent, brother, step-brother, sister step-sister and the spouse or domestic partner of any such parent, grandparent, brother, sister, child or step-child.

Office of General Counsel - shall mean the Office of General Counsel or its designee.

Outside employment - shall mean part-time, full-time, regular or temporary employment for compensation with an entity other than the Authority and includes self-employment or work as an independent contractor, home-based business, consulting or professional services.

Party - shall mean an individual, corporation, partnership or other legal entity.

Prohibited source – shall mean any person or organization that: 1) is seeking official action by the Authority; 2) has or is seeking to obtain contractual or other business or financial relations with the Authority; 3) conducts operations or activities that are subject to oversight by the Authority; or 4) that an employee knows has an interest that may be favorably affected by the performance or non-performance of the employee’s official duties.

Senior employee – shall mean an employee who 1) holds the position of director or higher; or 2) advises, makes decisions, or participates substantially in areas of contracting, procurement, administration of grants or subsidies, developing policies, inspecting, policy-making, or auditing, or acts in areas of responsibility that may create a conflict of interest or appearance of a conflict of interest, as determined by the General Manager in consultation with the Office of General Counsel.

Transaction - shall mean any arrangement whereby there is an expectancy that a party will receive or transfer a benefit in the form of money or any other thing of value including but not limited to, arrangements for purchase, sale, lease or the transfer or conveyance of any interest in real or personal property, construction, reconstruction, or improvement of any facility or property; and procurement of services, personal, professional and consulting.

4.0 RESPONSIBILITY

4.1 The Human Capital Management Director is responsible for the administration of this Policy.

4.2 Employees are responsible for understanding and complying with the requirements of this Policy.

4.3 The General Manager, Deputy General Manager, Assistant General Managers and Department Directors are responsible for ensuring that employees comply with the requirements of this Policy.

4.4 The Office of General Counsel is responsible for reviewing the Confidential Financial Disclosure Statements and other disclosure forms required of employees for possible conflicts of interest.

4.5 The Secretary to the Board is responsible for the maintenance of the completed Confidential Financial Disclosure Statements, controlling access to the statements and shall advise the Office of General Counsel if statements are not received from employees.

4.6 The Internal Auditor is responsible for investigating allegations that this Policy has been violated.

5.0 **PROCEDURE**

5.1 **Reporting Known or Suspected Violations of Policy**

If any Authority employee becomes aware of an actual or apparent conflict of interest with the Authority, or of any other conduct which could be a violation of this Policy, the employee should report the circumstances immediately to their immediate supervisor, Department Director or Human Capital Management Director. The immediate supervisor, Department Director or Human Capital Management Director, in consultation with the Office of General Counsel, will make an appropriate determination and take such further action as may be required.

5.2 **Outside Employment and Other Activities**

5.2.1 Prior to commencing outside employment or engaging in a private business activity that may pose an actual or potential conflict of interest or the appearance of a conflict of interest, an employee must submit an Outside Employment/Business Interest Disclosure Form to his or her Department Director, the Office of General Counsel and the Human Capital Management Director. The form must include all pertinent information about the outside employer or business activity.

5.2.2 The Department Director shall review the disclosure form and determine whether the outside employment or business activity conflicts with the employee's Authority position and whether there appears to be a conflict of interest.

5.2.2.1 If the Department Director's review indicates that outside employment or business activity does not pose an actual, apparent or potential conflict with the employee's Authority position and the Office of General Counsel and the Human Capital Management Director agree, the Human Capital Management Director will notify the employee in writing of the determination and file the appropriate information in the employee's official personnel file.

5.2.2.2 If the Human Capital Management Director disagrees with the Department Director's assessment or if the Human Capital Management Director and the Department Director agree that the outside employment or business activity involves an actual, potential or appearance of a conflict of interest, the matter will be referred to the Office of General Counsel.

5.2.2.3 If the Office of General Counsel determines that there is no conflict of interest, the Office of General Counsel will notify the Human Capital Management Director in

writing and the Human Capital Management Director will notify the employee in writing of the determination.

5.2.2.4 If the Office of General Counsel determines that there is an actual or potential conflict of interest, the General Counsel will provide the Human Capital Management Director with a formal opinion on the matter. A copy of the opinion will be provided to the employee along with written notice to the employee that the employee may not engage in the outside employment or business activity while employed by the Authority.

5.2.3 An employee who is engaging in outside employment or a business activity that has been determined not to be an actual, apparent, or potential conflict of interest must notify his or her Department Director in writing of any circumstance or conditions that may arise that might create the potential or appearance of a conflict of interest.

5.3 Disqualification from Contracts Procedure

In circumstances where an employee should be disqualified from participating in the selection, award or administration of a contract, or should not perform some Authority duty because of an actual or potential conflict of interest or the appearance of a conflict of interest, the employee shall file a Disqualification Form with his or her Department Director and the Office of the General Counsel (or Chief of Staff for employees in the Office of General Manager). The Disqualification Form shall contain a description of the financial interest or other circumstance that may create an actual or potential conflict of interest or the appearance of a conflict of interest and the nature of the official duties involved.

5.3.1 The employee shall discontinue performing the duties that may create an actual or potential conflict of interest until a determination is rendered by the Office of General Counsel or Chief of Staff, as applicable.

5.3.2 The Office of General Counsel or Chief of Staff, as applicable, will forward a copy of the statement annotated with his or her disposition for filing in the official personnel file.

5.3.3 If it is determined that an actual or potential conflict of interest does not exist, the Department Director will determine whether the employee will perform the duties identified in the notice. If it is determined that the employee is to perform the duties, the employee shall be notified in writing.

5.4 Disclosure Statements

5.4.1 On or before May 15th of each year, all senior employees shall submit a Confidential Financial Disclosure Statement and Conflict of Interest Form (Confidential Disclosure Statement) to the Office of General Counsel. The Confidential Disclosure Statement shall contain a full and complete statement of the information set forth below. The General Manager, in consultation with the Office of General Counsel, Assistant or Deputy General Manager, Procurement Director and Internal Auditor shall, on or before April 15th of each year, designate those employees required to file a Confidential Financial Disclosure Statement by name, title, position, and salary and shall notify each employee so designated in writing of the employee's obligation to file a Confidential Disclosure Statement.

5.4.2 Contents of Confidential Disclosure Statement

5.4.2.1 The Confidential Disclosure Statement shall include the following:

(A) The name of each business entity from which the employee or a member of the employee's household (i) has a direct or a beneficial interest, including securities, stocks, stock options, bonds, or trusts, exceeding in the aggregate \$1,000, or that produced annual income of \$200; (ii) receives income earned for services rendered in excess of \$200 during a calendar year; (iii) serves as an officer, director, partner, employee, consultant, contractor, volunteer, or in any other formal capacity or affiliation; or (iv) has an agreement or arrangement for a leave of absence, future employment, or continuation of payment by a former employer, including the date of the agreement or arrangement;

(B) Any outstanding individual liability in excess of \$1,000 for borrowing by the employee or a member of the employee's household from anyone other than a federal or state insured or regulated financial institution;

(C) All real property located in the District (and its location) in which the employee or a member of the employee's household, has an interest with a fair market value in excess of \$1,000, or that produced income of \$200; provided, that this provision shall not apply to personal residences occupied by the employee or the employee's spouse, domestic partner, or dependent children;

(D) All professional or occupational licenses issued by the District of Columbia government held by the employee or a member of the employee's household;

(E) All gifts received in a calendar year by the employee or a member of the employee's household from a prohibited source;

(F) A certification that the employee:

(i) Has not caused title to, interest in, or ownership of property to be placed in another person or entity's name for the purposes of avoiding the disclosure requirements of these Standards of Conduct;

(ii) has filed and paid his or her income and property taxes;

(iii) has diligently safeguarded the assets of the taxpayers and the District;

(iv) has reported known illegal activity, including attempted bribes, to the appropriate authorities;

(v) has not accepted any bribes;

(vi) has not directly or indirectly received government funds through illegal or improper means;

(vii) has not raised or received funds in violation of federal or District law; and

(viii) and each member of the employee's household has not received or been given anything of value, including a gift, favor, service, loan gratuity, discount, hospitality, contribution, or promise of future employment, based on any understanding that the employee's official actions or judgment would be influenced.

5.4.2.2 If an employee believes that providing the information required in the Confidential Disclosure Statement would require the employee to violate any rule of

professional responsibility to which such employee is subject, the employee shall consult with the Office of General Counsel to identify a means to ensure the Authority receives information required to confirm the lack of any actual or potential conflict of interest, or appearance of same without violating such rule of professional responsibility.

5.4.3 Confidential Disclosure Statements must be filed by May 15th of each year and at such other time that material changes occur. An employee shall promptly notify the Office of General Counsel in writing if the employee becomes aware of any material change in circumstances with respect to the information provided in the employee's most recent financial disclosure statement.

5.4.4 Submission and Review of Confidential Disclosure Statements – General Manager and Direct Reports

5.4.4.1 The Assistant General Manager, Deputy General Manager, General Counsel, Internal Auditor, Secretary to the Board and directors and managers reporting directly to the General Manager shall submit their completed Confidential Disclosure Statements to the General Manager.

5.4.4.2 The General Manager, in consultation with the Office of General Counsel, will determine if there is an actual or potential conflict of interest. If there is no actual or potential conflict of interest, the General Manager shall send the form in a sealed envelope bearing the name(s) and office(s)/department(s) to the Secretary to the Board who will note the receipt of the form(s) on the Master List and will store the form(s).

5.4.4.3 If an actual or potential conflict of interest exists, the General Manager, in consultation with the Office of General Counsel, shall take any necessary action to resolve the conflict. The action taken by the General Manager must be documented in writing and filed with the Secretary to the Board.

5.4.4.4 The General Manager shall submit his or her completed Confidential Disclosure Statement to the Chairman of the Board of Directors. If an actual or potential a conflict of interest exists, the Chairman, in consultation with the Office of General Counsel, shall take any necessary action to resolve the conflict. The action taken by the Chairman shall be documented in writing and filed with the Secretary to the Board.

5.4.5 Submission and Review of Confidential Disclosure Statements – Other Employees

5.4.5.1 Except as provided in section 5.4.6, employees required to submit Confidential Disclosure Statements shall submit completed Confidential Disclosure Statements to the Office of General Counsel.

5.4.5.2 Information submitted pursuant to this section will be treated as confidential. Completed Confidential Disclosure Statements will not be duplicated, except by the preparer or at the direction of the General Manager, Assistant or Deputy General Manager, Office of General Counsel, Procurement Director, Internal Auditor or their designee.

5.4.5.3 For those employees who have no reportable affiliations and financial interests, the Office of General Counsel shall consolidate the forms and send them in a sealed envelope bearing the name(s) and office(s) of the employees to the Secretary to the Board by June 30th. The Secretary to the Board will note the receipt of the form(s) on the Master List and will store the forms. The Secretary to the Board will provide the Human Resources Director a copy of the annotated Master List.

5.4.5.4 The Office of General Counsel shall complete its review of Confidential Financial Disclosure Forms and forward same to the Secretary of the Board by June 30th of each year.

5.4.5.5 If a conflict of interest appears upon review of a disclosure form by any of the responsible officials, appropriate action will be taken by the employee and the appropriate official to resolve the conflict.

5.4.6 Confidential financial disclosure statements constitute a record and shall be maintained by the Secretary of the Board for no less than six (6) years.

6.0 CERTIFICATION STATEMENT

6.1 A copy of this Policy and a certification statement shall be distributed to all Authority employees. Within ninety (90) days of the effective date of this Policy, each Department Director shall collect a signed certification statement containing the information set forth in section 5.4.2.1(F) from employees assigned to work within his or her department. The signed statements shall be transmitted to Human Capital Management and shall be filed in the employee's official personnel files.

6.2 Human Capital Management shall provide each new employee hired after the effective date of this Policy with a copy of this Policy and with a certification statement at the time of their employment orientation. Human Capital Management shall collect a signed certification statement from each new hire. The signed statements shall be filed in the employee's official personnel file.

6.3 Human Capital Management shall issue an annual Staff Notice to all Authority employees to remind them of the requirements of this Policy.

DRAFT – 8/30/2015



District of Columbia Water and Sewer Authority
Confidential Financial Disclosure Statement and
Conflict of Interest Form (Calendar Year _____)

1. Statement Information (select one)

Type: ☐ New ☐ Amended

All information should be provided for the most recently concluded calendar year, except that employees are required to update this form to reflect any material changes that may have occurred with respect to the following information following the close of the previous reporting period.

2. Filing Status & Time Period Covered

☐ Senior Employee/Executive Staff - from _____ to _____

3. Filer Information

Filer’s name (First, Middle, Last)

Spouse’s name (First, Middle, Last)

Mailing Address

City, State, Zip

Dependent child’s name* (First, Middle, Last)

Dependent child’s name* (First, Middle, Last)

Title (Position)

☐ Check if spouse is filing separate from yourself
*Includes all children, stepchildren, foster children, and wards under the age eighteen residing in the person’s household.

4. Transaction Information

A. List the transactions, valued at more than \$500, you, your spouse, domestic partner, or dependent children, had with DC Water. *Do not include* compensation received as an employee, payment of taxes, fees or penalties or transfers for no consideration.

Date (mm/dd/yyyy) _____
Parties involved in transaction

Date (mm/dd/yyyy) _____
Parties involved in transaction

B. List the transactions for any business entity, in which you, your spouse, domestic partner, or dependent children, held a substantial interest, that conducted business with DC Water valued at more than \$500. *Do not include* payments of taxes, fees or penalties due to DC Water or transactions involving payment for providing utility service. (NOTE: Substantial interest includes ownership of 10% of the business entity or interest valued at \$10,000 or more, or from which a salary, gratuity or other compensation of \$5,000 or more is paid per calendar year).

Date (mm/dd/yyyy) _____
Name of Business _____
Parties involved in transaction

Date (mm/dd/yyyy) _____
Name of Business _____
Parties involved in transaction

5. General Business Entity Interests

List each business, whether or not transacting any business with DC Water, in which you or your spouse, domestic partner, or dependent children have a beneficial interest, including, whether held in such person's own name, in trust, or in the name of a nominee, securities, stocks, stock options, bonds, or trusts, with a cumulative value in excess of \$1,000, or that produced income of more than \$200. If none, state none. *(Do not include professionally managed collective investment vehicles that pool money from many investors to purchase securities, such as mutual funds, or professionally managed retirement accounts.)*

Entity _____

Affiliation with Entity _____

Start Date _____

End Date _____

Valuation of Assets/Income: (Place a check mark in the box next to the applicable range. Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.)

- ☐ None (or less than \$1,001)
- ☐ \$1,001 - \$15,000
- ☐ \$15,001 - \$50,000
- ☐ \$50,001 - \$100,000
- ☐ \$100,001 - \$250,000
- ☐ \$250,001 - \$500,000
- ☐ \$500,001 - \$1,000,000
- ☐ Over \$1,000,000
- ☐ \$1,000,001 - \$5,000,000
- ☐ \$5,000,001 - \$25,000,000
- ☐ Over \$25,000,000

Please provide additional information in the text box below.

(Attach a Supplemental Sheet if you have additional entries)

6. Positions Held with Corporations and Other Entities

List the name and address of each corporation, business entity or other organization for which you, your spouse, domestic partner, or dependent children served in the capacity of a director, partner, employee, consultant, contractor, volunteer, officer, receiver or in any other formal capacity or affiliation during the time period covered by this statement. If none, state none.

Entity Name	Address/City/State/Zip	Person's name and position held
Name	Address/City/State/Zip	Person's name and position held
Start Date	End Date	

Please provide additional information in the text box below.

(Attach a Supplemental Sheet if you have additional entries)

7. Employment Arrangements

List each business, whether or not transacting any business with DC Water, in which you or your spouse, domestic partner, or dependent children had an agreement or arrangement for a leave of absence, future employment, or continuation of payment by a former employer, including the date of the agreement or arrangement. If none, state none.

Entity Name	Address/City/State/Zip	Person's name and position held
Name	Address/City/State/Zip	Person's name and position held
Start Date	End Date	

Please provide additional information in the text box below.

8. Income From Outside Sources

List each business, whether or not transacting any business with DC Water, in or from which you or your spouse, domestic partner, or dependent children received an honorarium and/or income earned for services rendered in excess of \$200 during a calendar year, as well as the identity of any client for whom you performed a service in connection with your outside income. If none, state none. If the client has a contract with DC Water, include a narrative description of the nature of the service performed in connection with the official's outside income. If you believe that providing this information would require you to violate any rule of professional responsibility to which you are subject, you should consult with the Office of General Counsel.

Entity Name	Address/City/State/Zip	Person's name and position held
Name	Address/City/State/Zip	Person's name and position held
Start Date	End Date	

Valuation of Outside Income: (Place a check mark in the box next to the applicable range. Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.)

- ☐ None (or less than \$1,001)
- ☐ \$1,001 - \$15,000
- ☐ \$15,001 - \$50,000
- ☐ \$50,001 - \$100,000
- ☐ \$100,001 - \$250,000
- ☐ \$250,001 - \$500,000
- ☐ \$500,001 - \$1,000,000
- ☐ Over \$1,000,000
- ☐ \$1,000,001 - \$5,000,000
- ☐ \$5,000,001 - \$25,000,000
- ☐ Over \$25,000,000

Please provide additional information in the text box below.

(Attach a Supplemental Sheet if you have additional entries)

9. Individual Liability

Provide each outstanding individual liability in excess of \$1,000 for borrowing by you or your spouse, domestic partner, or dependent children. If none, state none. *Do not include* liabilities to a federal or state insured or regulated financial institution, including any revolving credit and installment accounts from any business enterprise regularly engaged in business of providing revolving credit or installment accounts, or a member of your immediate family. *Do not include* home loans, student loans, or any credit card debt because most credit cards are issued by federal or state insured or regulated financial institutions. In addition, credit card companies are in the business of providing revolving credit or installment accounts.

Name of Creditor _____

Type of Liability _____

End Date _____

Valuation of Outstanding Liability (Place a check mark in the box next to the applicable range. Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.)

- ☐ None (or less than \$1,001)
- ☐ \$1,001 - \$15,000
- ☐ \$15,001 - \$50,000
- ☐ \$50,001 - \$100,000
- ☐ \$100,001 - \$250,000
- ☐ \$250,001 - \$500,000
- ☐ \$500,001 - \$1,000,000
- ☐ Over \$1,000,000
- ☐ \$1,000,001 - \$5,000,000
- ☐ \$5,000,001 - \$25,000,000
- ☐ Over \$25,000,000

Please provide additional information in the text box below.

List all real property located in the District and user jurisdictions (and its actual location) with a fair market value in excess of \$1,000, or that produced income of \$200 or more in which you or your spouse, domestic partner, or dependent children, have an interest. If none, state none. *Do not include* personal residences occupied by you , your spouse, domestic partner or dependent children.

Location of Real Property _____

Purchase Date _____

Date Sold _____

Valuation of Real Property: (Place a check mark in the box next to the applicable range. Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.)

- ☐ None (or less than \$1,001)
- ☐ \$1,001 - \$15,000
- ☐ \$15,001 - \$50,000
- ☐ \$50,001 - \$100,000
- ☐ \$100,001 - \$250,000
- ☐ \$250,001 - \$500,000
- ☐ \$500,001 - \$1,000,000
- ☐ Over \$1,000,000
- ☐ \$1,000,001 - \$5,000,000
- ☐ \$5,000,001 - \$25,000,000
- ☐ Over \$25,000,000

Please provide additional information in the text box below.

(Attach a Supplemental Sheet if you have additional entries)

11. Gifts

List all gifts you, your spouse, domestic partner or dependent children received from a prohibited source in a cumulative fair market value of \$50 or more in a calendar year. A prohibited source is any person or organization that: (1) Has or is seeking to obtain contractual or other business or financial relations with DC Water; or (2) has an interest that may be favorably affected by the performance or non-performance of the employee's official responsibilities. If none, state none.

Identity of Gift Giver _____

(If Gift Giver is an individual, please provide the identity of the entity associated with the individual Gift Giver)

Gift Giver’s Entity _____

Description of Gift _____

Purpose of Gift _____

Date of Gift _____ Amount of Estimated Value _____

Please provide additional information in the text box below.

(Attach Supplemental Sheet if you have additional entries)

12. Licenses

List all professional or occupational licenses issued by the District of Columbia government held by you or your spouse, domestic partner, or dependent children. If none, state none.

License Issued _____

Issuing Entity_____

Please provide additional Information in the text box below.

(Attach Supplemental Sheet if you have additional entries)

13. Certification

By signing this affidavit before a witness, I hereby swear (or affirm) that to the best of my knowledge and belief, I have not caused title to property to be placed in another person or entity for the purposes of avoiding disclosure;

I further swear (or affirm) that I have:

- Filed and paid my income and property taxes;
- Diligently safeguarded the assets of the DC Water;
- Reported known illegal activity, including attempted bribes, to the appropriate authorities;
- Not been offered or accepted any bribes;
- Not directly or indirectly received government funds through illegal or improper means;
- Not raised or received funds in violation of federal or District law; and

- Not received or been given anything of value, including a gift, favor, service, loan gratuity, discount, hospitality, political contribution, or promise of future employment, based on any understanding that my official actions or judgment or vote would be influenced

12. Signature (select one, sign & date)

☐ I affirm and attest under penalty of perjury that information and facts in this report are complete, true, and accurate. I further acknowledge that I am aware that any false statement or declaration made herein is punishable under D.C. Official Code S22- 2405 et seq. (2001)

☐ I affirm and attest under penalty of perjury that information and facts in this report are complete, true, and accurate and that my spouse, domestic partner or dependent child(ren) have refused or failed to provide correct information concerning his or her financial interest and that I have no working knowledge of such interests. I further acknowledge that I am aware that any false statement or declaration made herein is punishable under D.C. Official Code S22- 2405 et seq. (2001)

Filer’s Signature (Required)

Date (mm/dd/yyyy)



District of Columbia Water and Sewer Authority
George S. Hawkins, General Manager

Briefing on:

Green Infrastructure National Certification Program

Briefing for:

Governance Committee



September 9, 2015

DCWATER.COM

Agenda

- Background – Consent Decree Modification
- GI Jobs MOU requirements
- Proposed Certification and Training Program
- Contract Recommendation



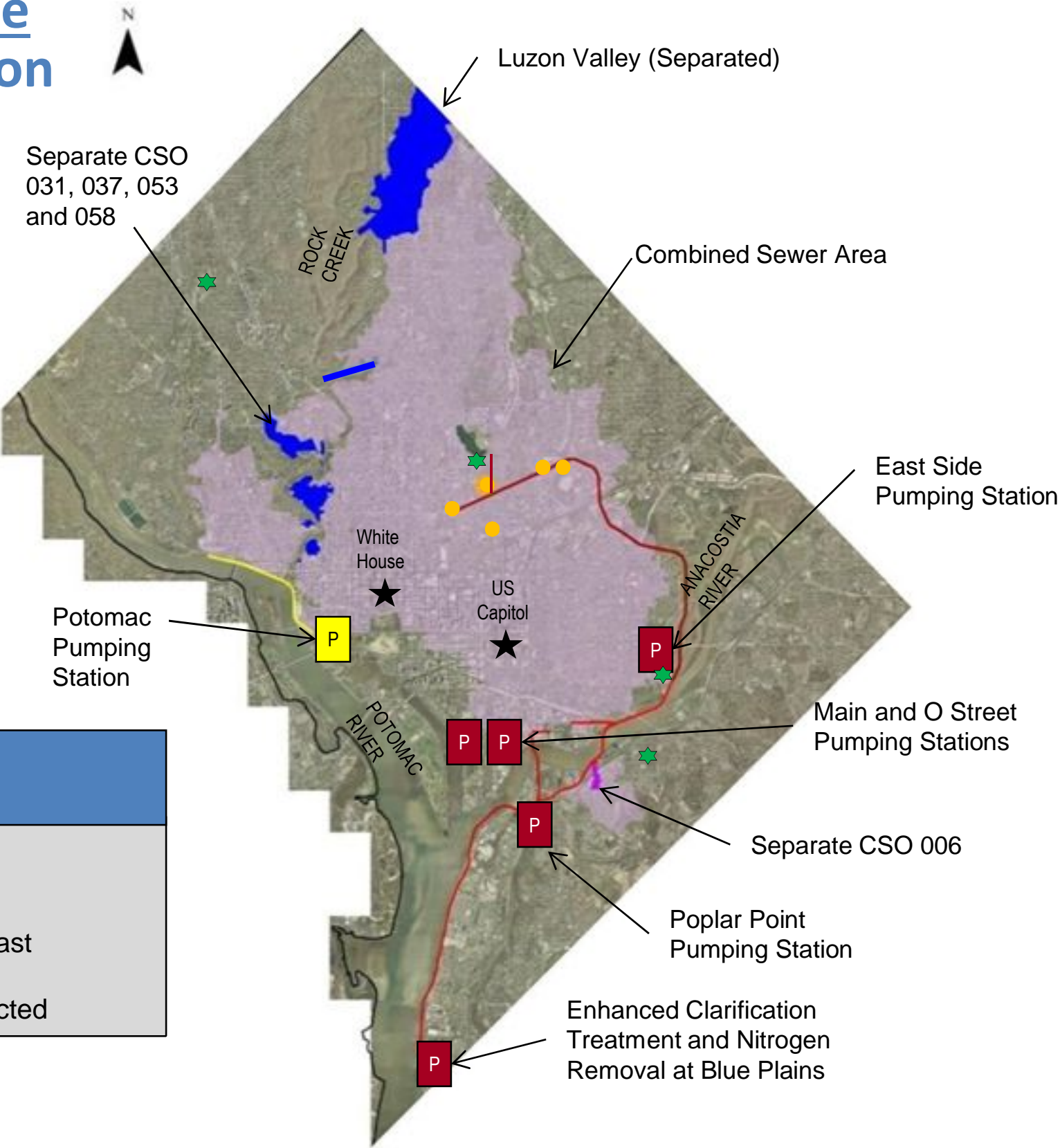
Clean Rivers Project Before Consent Decree Modification

LEGEND

- Anacostia River Tunnel System
- Potomac River Tunnel
- Piney Branch Tunnel
- Pumping Station Rehabilitation
- Known Flood Area
- Green Infrastructure at DC Water facilities

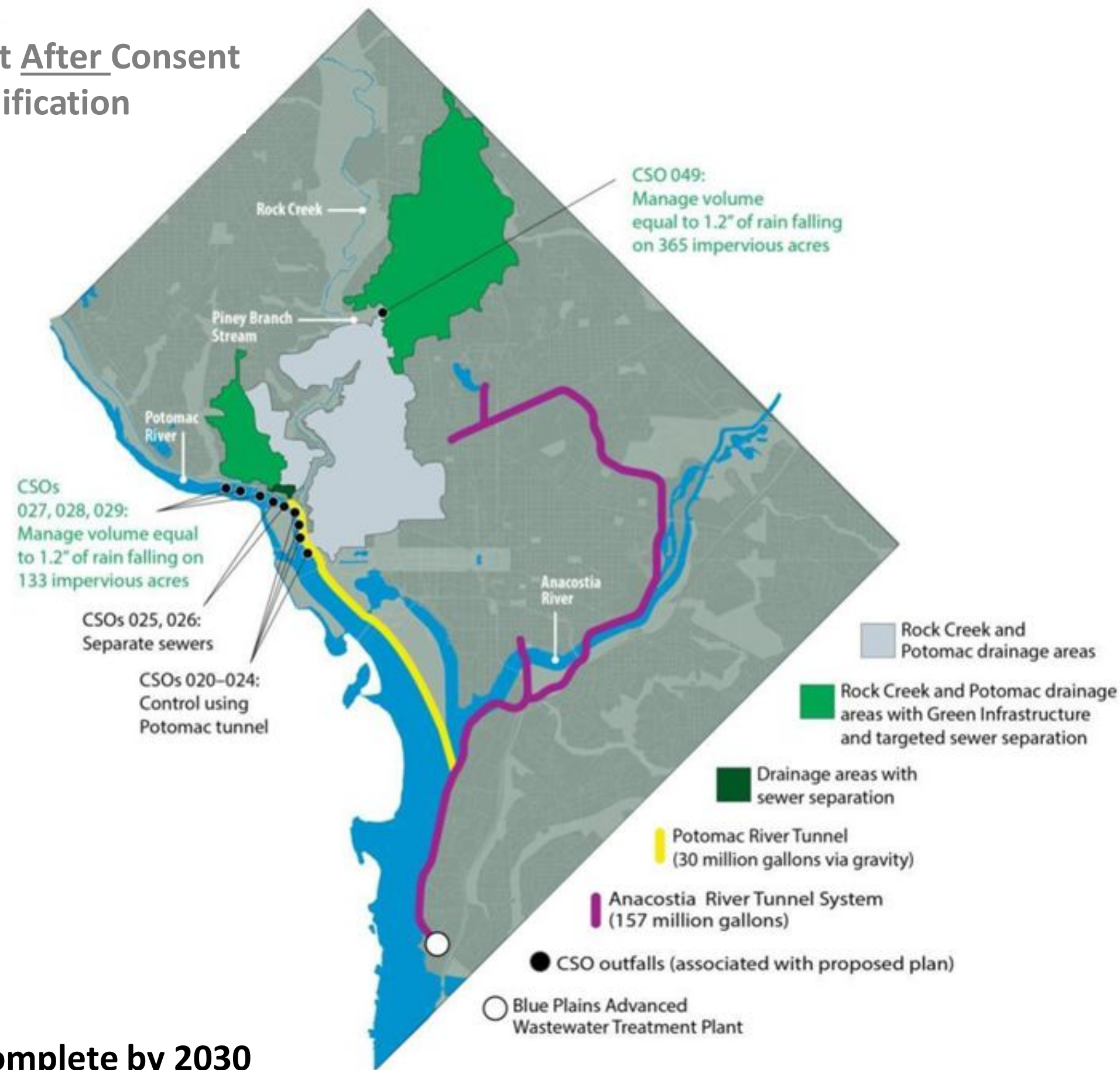
DC CLEAN RIVERS PROJECT AND NITROGEN REMOVAL PROGRAMS

- DC Clean Rivers Project: \$2.6 Billion
- Nitrogen Removal: \$950 Million
- Total > \$ 3.5 Billion
- 96% reduction in CSOs & flood relief in Northeast Boundary
- Approx 1 million lbs/yr nitrogen reduction predicted



Complete by 2025

Clean Rivers Project After Consent
Decree Modification



Complete by 2030

Status of Consent Decree Modification

- Department of Justice lodged Modified Decree May 20, 2015
- U.S Gov. public comment period ended July 27, 2015
- U.S. Government will respond to comments and recommend entry of decree to Court
- Looking forward to autumn 2015 entry of Decree
- Consent Decree Modification includes fixed calendar dates → requires moving ahead with implementation now



Current Standards for GI Construction and Maintenance

- Some training programs exist, particularly for storm water
 - Only provide certificate
- No national certification program exists for GI construction and maintenance
 - Provides opportunity for baseline skillsets to ensure GI performance
- GI and storm water controls are becoming more common and will substantially grow in future
- There is a need to establish minimum standards and assure workers have skill sets required for GI to be effective over long term
- Creating a National Certification creates a long term pathway for living wage jobs and will benefit DC Water and the District and the profession



Pilot Green Roof Maintenance Training Program

Requirements in Green Jobs Memorandum of Agreement

- Executed May 20, 2015 by District and DC Water
- Obligations in MOU:
 - DC Water Works
 - DC Resident Outreach
 - **GI Certification Standards** →
 - District Job Training Programs
 - Use of Facilities for Training
 - Mentor/ Internship Program
 - Use of GI Certified District Residents
 - District Resident Hiring Preference
 - Certified Business Enterprises (CBEs)
- DC Water:
 - Select and fund third party to develop certification and training standards for GI construction, inspection and maintenance
 - Develop standards for certification of training programs for trainees to obtain certification
 - Develop training materials
 - Develop process for certifying third party trainers
 - Develop process for tracking & maintaining certified contractors/inspectors/maintainers
 - Funding not less than \$600,000 total during calendar years 2015, 2016, and 2017



Certification Program: Proposed Vision

- Comprehensive Program
 - Led by independent, national third-party organization with respected stormwater credentials
 - Implemented nationally in jurisdictions with GI programs
- Standards for GI Construction, Maintenance, and Inspection
 - Supports long-term performance of GI facilities required by DC Water's NPDES Permit requirements
 - Covers full life-cycle of GI
- Certification not Certificate
 - Targeted for under/unemployed
 - Establishes career path for GI workers (construction, maintenance, inspection – not design focused)
- Long-Term Sustainability/Viability
 - Contract requirements for GI workers to hold certification
 - National model rolled-out regionally to ensure local requirements are achieved and national program is sustainable → DC Water to serve as first regional roll-out
 - Long term workable program for DC Water and the District



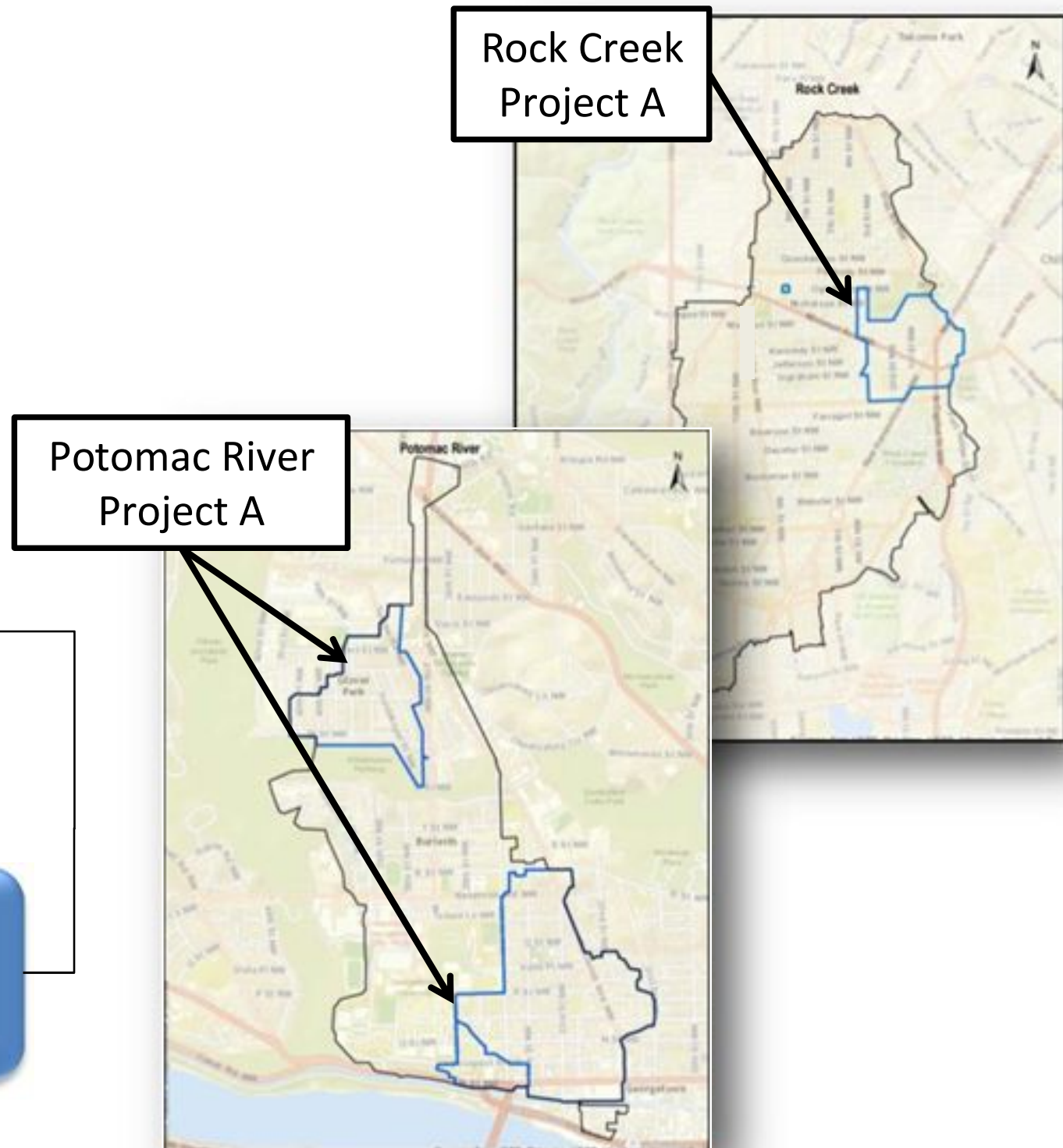
Pilot Green Roof Maintenance
Training Program



Certification Program: Schedule Drivers

- Consent Decree requires DC Water to construct 3 projects in the Potomac and 5 projects in Rock Creek (total 500 acres \pm)
- Deadlines for first project in each sewershed:
 - Rock Creek Project A: Award Construction 3/30/17
 - Potomac River Project A: Award Construction 6/23/17

Goal is to have certification in place and first group trained for the first projects



Certification Program: Scope of Work and Schedule

Task	Description
Need to Know Criteria Development	<ul style="list-style-type: none">• Perform job analysis and develop blueprint for exam
Training Curriculum Development and Delivery	<ul style="list-style-type: none">• Develop (or edit existing as available) curriculum• Provide training (initial and continuing education) for certification
Exam Development	<ul style="list-style-type: none">• Perform job analysis and create blueprint for exam (design test)• Develop, review, and analyze test questions• Assemble operational test• Maintain test exam database• Administer online testing• Create and maintain exam result database
Website and Certification Database	<ul style="list-style-type: none">• Application management (certification, renewal, training accreditation)• Contractor identification of certified trainees



Schedule:

Late 2016: First Technical Training
Early 2017: First Certification Exam



Certification Program: Water Environment Federation (WEF)

- Who is WEF?
 - Recognized leader in stormwater and water industry
 - Membership from utilities and communities across US and in over 35 countries
 - Over 36,000 water quality professionals as members (Over 7,000 who specialize in stormwater management)
 - Technical education and training leader in water quality since 1928
 - WEF Stormwater Institute
 - Annual WEF Stormwater Congress
 - Technical publications, Online Courses, Webcasts
 - Active in water certification issues for over 40 years
 - Additional focus on policy, regulatory, and advocacy efforts



**WEF will provide leadership
needed for national certification**



<https://www.youtube.com/watch?v=U8ypf2v-ISA>

Certification Program: Proposed Key Parties and Roles

- **WEF**
 - Need to Know Criteria Development
 - Training Curriculum Development and Delivery
 - Exam Writing and Administration
 - Website and Certification Database
 - Program Development and Management for National Certification Program
 - Goal is to follow future DC Water Works Program

- **Certification Advisory Group** (Membership from GI Jurisdictions/Utilities that Fund Program)
 - Financial Partners
 - Commit to Implementation and Procurement Requirements
 - Potential Advisory Group Members: San Francisco, Onondaga Co., Chicago, Philadelphia, Milwaukee, Louisville, Cincinnati, Cleveland, New Orleans, Portland, Columbus, Los Angeles, Tucson, Atlanta, Nashville, Kansas City, Seattle, Alexandria, VA, Prince George's Co., Fairfax Co., Montgomery Co.
 - Benefit: can apply certification to GI and stormwater controls in their jurisdictions = living wages and quality work so facilities perform to meet regulatory requirements

- **Technical Advisory Group** (Membership from GI Jurisdictions/Utilities that Fund Program and Technical Advisors as Needed)
 - Provide Technical Expertise Throughout Program Development and Implementation



Recommendation

- Authorize Contracting Officer to execute contract with WEF
- Contract not to exceed: \$2.2 Million over 3 years
 - MOA Requirement of \$600,000 for certification was minimum threshold for MOA negotiations
 - Additional investment will benefit DC Water's GI program and District residents
 - Proposed national certification program provides local and national opportunities to:
 - Ensure performance of GI practices
 - Meet regulatory requirements for GI practices
 - Provide livable wages and job portability

