



THE PRINCE GEORGE'S COUNTY GOVERNMENT
OFFICE OF ETHICS AND ACCOUNTABILITY

Rushern L. Baker, III
County Executive


Robin Barnes-Shell
Executive Director

M E M O R A N D U M

DATE: September 14, 2014

TO: The Honorable Rushern L. Baker, III
County Executive

The Honorable Mel Franklin
Council Chair

FROM: Robin Barnes-Shell, Executive Director
Office of Ethics and Accountability 

RE: FY 2014 Annual Report

Pursuant to the Code of Ethics Section 2-292, I hereby transmit the 2014 Annual Report for the Office of Ethics and Accountability.

The Office of Ethics and Accountability is committed to ensuring the trust of the County's citizens regarding the impartiality and independence of County officials and employees in fulfilling their public service and increasing the awareness of County officials, employees and citizens of the role of the Office of Ethics and Accountability.

cc: Nicholas Majett, Chief Administrative Officer
Glenda Wilson, Chief of Staff
Robert Williams, Council Administrator
Redis Floyd, Clerk of the County Council



Rushern L. Baker, III
County Executive

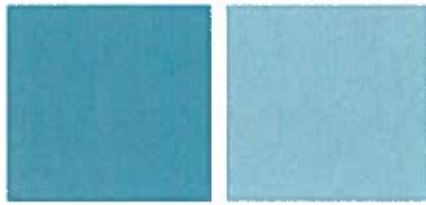


FY 2014 ANNUAL REPORT

Robin Barnes-Shell, Executive Director

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MESSAGE FROM THE EXECUTIVE DIRECTOR

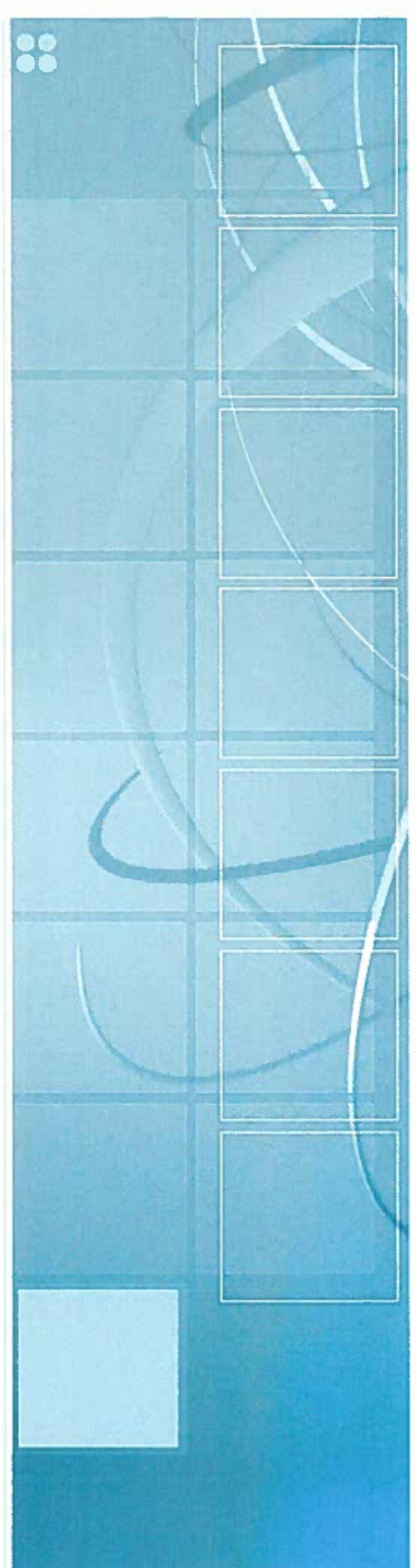
Robin Barnes-Shell

I am pleased to provide the first annual report for the Office of Ethics and Accountability for fiscal year 2014.

The Office of Ethics and Accountability was enacted pursuant to Council Bill 63-2012 to provide increased accountability and oversight in the operations of the County government by identifying fraud, abuse, and illegal acts therein. The Office was in its start-up phase this reporting period making substantial progress in opening the office at its location in the Largo Government Center and hiring dedicated staff committed to ensuring that the County government operates at the highest level of ethical conduct through its investigative and administrative functions.

Serving as the Executive Director to the Office of Ethics and Accountability and the Board of Ethics, I am able to assist County officials and employees in their endeavors to institute, monitor, and comply with the County's Ethics Code and to understand how to report instances of fraud, abuse or illegal acts in accordance with the Ethics and Accountability Code. The implementation of the "Make a Difference" Hotline this fiscal period moves the County closer to achieving the purpose for establishing the Office of Ethics and Accountability by allowing individuals to discreetly report any information they have regarding possible unethical or illegal acts.

I am thankful for the opportunity to serve the County in establishing the Office of Ethics and Accountability and look forward to providing increased opportunities to report pertinent information to the public regarding the work of this Office.



BOARD OF ETHICS

Purpose

The Code was enacted to guard against improper influence and even the appearance of improper influence by County officials, employees and appointees to boards and commissions. To ensure impartiality and independent judgment, the Ethics Code requires designated individuals to disclose their financial affairs, and it sets standards for their business conduct. The Board is the advisory body responsible for interpreting the Ethics Code and advising those subject to it. The Board also serves as the body to hear and determine ethics complaints and violations.

Members of the Board of Ethics

The Board of Ethics currently consists of five members. Members must be residents of Prince George's County and no more than three members may be of the same political party. Robin Barnes-Shell serves as the Executive Director to the Board of Ethics in addition to serving as the Executive Director to the Office of Ethics and Accountability. The Board selected Judge Covette Rooney to serve as Chair through December 6, 2014. The remaining members are as follows:

- Cassandra Burckhalter, Member
- Anne Magner, Esq., Member
- Addie Martin, Member
- Norris Sydnor, III, Member

Meetings of the Board of Ethics

All regular meetings were held in the Offices of Ethics and Accountability, Suite 155 of the Largo Government Center located at 9201 Basil Court, Largo, Maryland 20774. As required, advance notice of meetings and the possibility of closed sessions were posted on the County's website. All decisions of the Board are reflected in the minutes of the monthly meetings and are available on the County's website.

Generally, agenda topics included establishing procedures for the Board of Ethics, consideration of formal requests for advisory opinions on the application of Ethics Code, and consideration of procedures affecting the administration and scope of the Ethics Code.

The Board of Ethics provided its annual report to the County Executive and the County Council on January 30, 2014. The report is posted on the County's website.

OFFICE OF ETHICS AND ACCOUNTABILITY'S MISSION

The mission of the Office of Ethics and Accountability is to promote public trust in County Government through:

- Comprehensive intake, investigation and case management
- Accurate and timely financial disclosure by employees, officials and lobbyists
- Innovative training, technical assistance, and public awareness campaigns

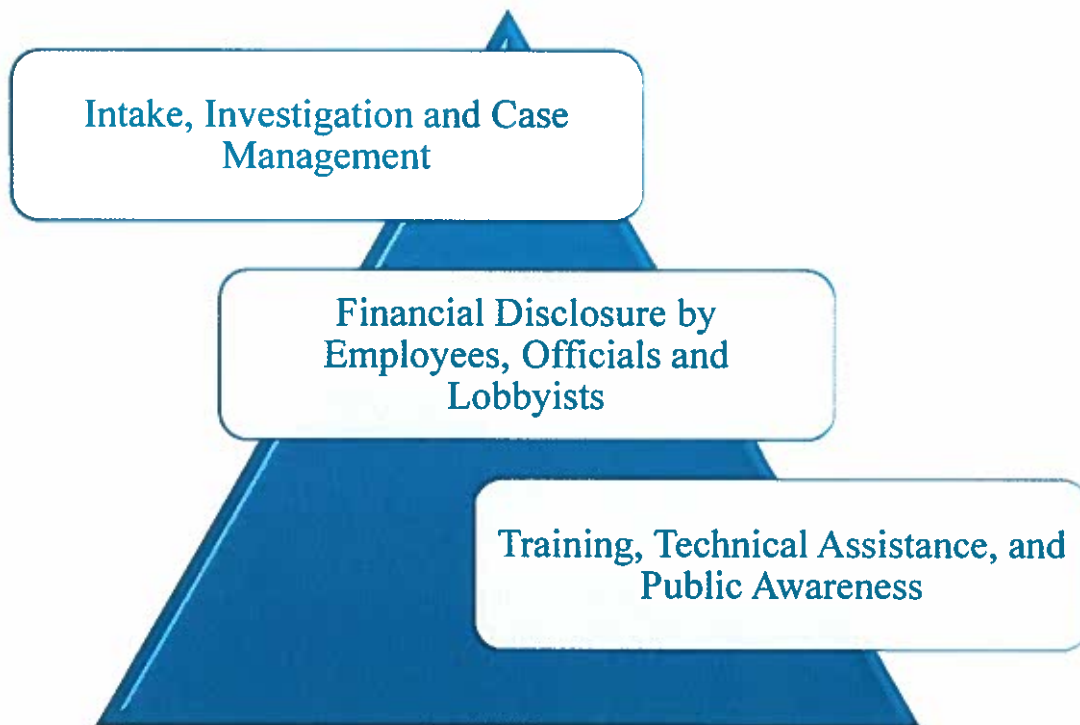


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This report is written pursuant to the Ethics and Accountability Code Section 2-308 to provide the County Executive, the County Council, all employees and officials of Prince George's County, and the general public with information about the activities of the Office of Ethics and Accountability for the fiscal year of 2014.

This is the first "Annual Report" prepared by the Office of Ethics and Accountability. The Office is pleased to submit this report about the work that has commenced in Prince George's County. The Office welcomes any questions or suggestions that might arise following review.

The Office of Ethics and Accountability was created to provide increased accountability and oversight in the operations of the County government by identifying fraud, abuse, and illegal acts. Prince George's County Code § 2-299. It also provides support to the Prince George's County Board of Ethics in the exercise of its authority to interpret the County Code of Ethics in order to promote public trust in County Government by ensuring impartiality of the employees and elected officials. Prince George's County Code § 2-292.

The Office Ethics and Accountability's two main functions are best described as investigative of County operations and administrative in its support to the Board of Ethics. Investigations are initiated in several ways: (1) through the Make a Difference Ethics Hotline, (2) directly to the Office, (3) via media, or (4) other means. After an initial investigation by the Office of Ethics and Accountability, a matter may eventually be referred to law enforcement, an appropriate agency, or the Board of Ethics. Administratively, the Office of Ethics and Accountability oversees financial disclosure statement submissions, lobbyist registrations and reports; renders ethics advice to individuals governed by the Ethics Code; maintains compliance with the Open Meetings Act for the Board of Ethics; and provides ethics training to County officials, employees and lobbyists.

Investigations

The Office of Ethics and Accountability is authorized pursuant to the County's Ethics and Accountability Code, Section 2-303 to engage in the following specific functions:

- Evaluate, investigate and inspect the activities, records, and individuals with contracts, procurements, grants, agreements, and other financial or programmatic arrangements undertaken by or on behalf of the County Government and any other function, activity, process, or operation conducted by County government;
- Conduct criminal, civil, and administrative investigations;
- Provide information and evidence that relates to criminal acts to appropriate law enforcement officials;
- Initiate such reviews of operations of the County Government as deemed appropriate;
- Receive and investigate complaints from any source or upon its own initiative concerning alleged abuse, fraud, and service deficiencies including deficiencies in the operation and maintenance of facilities; and
- Conduct joint investigations and projects with the Office of Audits and Investigations and other oversight or law enforcement agencies.

Prior to the establishment of the Office of Ethics and Accountability, investigations were initiated by complaints submitted by an individual completing a sworn statement and sending it to the Board of Ethics. Now, a complaint can be completed on-line through the "Make a Difference" website which was implemented in April, 2014. Callers can also contact the toll free number anytime to speak with an intake person who will send the complaint directly to the Office of Ethics and Accountability. Individuals can also contact the Office of Ethics and Accountability directly by phone at 301-883-3445, email (ethics@co.pg.md.us), or office visit. The Office of Ethics and Accountability's website is <http://www.princegeorgescountymd.gov/sites/ethics>.

The Office of Ethics and Accountability does not prosecute criminal conduct. However, criminal conduct discovered by the Office during its investigation of a complaint or tip is referred to the appropriate prosecuting authority in accordance with the Ethics and Accountability Code. Moreover, the Office of Ethics and Accountability does not administer personnel matters or seek to resolve personnel conflicts that have existing procedures in place to address. (See Appendix A for a list of complaints received this fiscal period).

Financial Disclosure Statements

Administratively, the Office of Ethics and Accountability collects financial disclosure statements for designated employees, elected and appointed officials. Designated positions required to file financial disclosure statements are listed in the County's Ethics Code, § 2-294. Financial disclosure statements are collected by April 30th of each year. All financial disclosure statements filed pursuant to the Ethics Code are maintained as public records by the Office of Ethics and Accountability, available for public examination and copying during normal office hours, and are subject to reasonable fees and administrative procedures established by the Board of Ethics.

The Office of Ethics and Accountability's initial review of financial disclosure statements filed in April 2014 for the calendar year 2013 determined 937 designated County officials, employees, board members and/or commissioners were required to file. Notices of this requirement were issued to these individuals both directly from their Agency Head or Commission/Board Liaison and by the Office of Ethics and Accountability by direct mail or e-mail. Additionally, further review later determined that 93 of the 937 designees were not required to file due to a qualifying exemption, such as unqualified position, deceased or Board of Ethics decision. In total, the Office of Ethics and Accountability reviewed 748 financial disclosure statements. Approximately 331 errors were noted and reconciled when possible to satisfy a proper submission. To date there still remains 18 delinquent financial disclosure statements for calendar year 2013.

During this reporting period, the staff fielded questions from individuals required to file financial disclosure statements and posted answers to frequently asked questions on the website. Three Brown Bag Lunch Workshops were conducted to help individuals with questions.

Through collaboration with the Office of Information Technology, financial disclosure statements will be collected electronically with the completion of the e-Filing project that is underway. The Office of Ethics and Accountability will on-board e-Filing for the collection of financial disclosure statements for the 2014 filing period to streamline the collection process. The Office of Ethics and Accountability anticipates that e-Filing will be available

before the 2014 financial disclosure statements submission deadline of April 30, 2015. Electronic filing will increase the integrity and reliability of data in the system and increase compliance with filing deadlines and submitting required disclosure information.

Lobbying

The Ethics Code requires an individual or entity to register annually by January 1st of the calendar year in which lobbying is expected or within 5 days after first engaging in any act that requires registration. Lobbying is communicating in the presence of a County official or employee with the intent to influence any official action of that official or employee. Prince George's County Code § 2-295. A lobbyist must register if the entity or individual spends more than \$200 on lobbying, is compensated more than \$1,000 in connection with lobbying, or spends more than \$2,000 on activities to solicit others to communicate with officials. Once registered, lobbyists are required to file an annual report by January 31st for the preceding calendar year in which lobbying occurred.

During this fiscal period, the Office provided lobbying registration and reporting PDF-fillable forms on the County's website. These PDF-fillable forms serve as a transition as the Office commences its e-Filing project that will allow lobbyists to submit their registrations and reports electronically. Electronic submission will provide a more timely and user-friendly method for lobbyists to register once they commence lobbying activities in the County.

Activity reports must include, among other information, the total compensation paid to the lobbyist in connection with lobbying activities, expenses for offices, gifts, meals, special events, and expenses incurred related to publications, witnesses, and research. Activity reports must also include the name of each public official or employee and qualifying relative of an official or employee to or for whom the lobbyist or any person on the lobbyist's behalf has given one or more gifts with a cumulative value of \$75 or more, whether or not given in connection with lobbying activities.

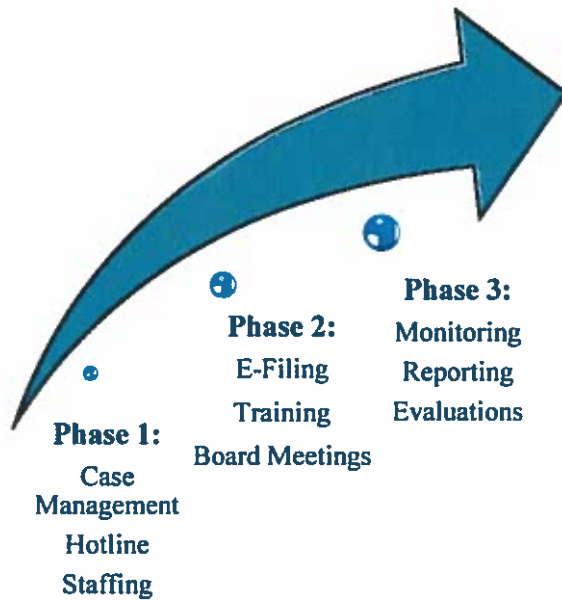
A review of the lobbyist registrations and reports was conducted by staff. Forty-five lobbyists registered during the 2013 calendar year. To date, thirty-six lobbyists are registered for the 2014 calendar year. A list of lobbyists registered with the Office of Ethics and Accountability in calendar year 2013, and their clients, can be found in Appendix B and on the County's website. The current list for calendar year 2014 registered lobbyists is available also online.

Technical Assistance/Ethics Advice

The Office of Ethics and Accountability provides informal ethics advice to agencies, officials, and individuals covered by the County's Ethics Code. (*See Appendix C*) The Office of Ethics and Accountability also receives and provides advice to the Board of Ethics for formal advisory opinion requests when an individual submits a request in writing to the Board of Ethics regarding interpretation of the Ethics Code. (*See Appendix D*)

The Office of Ethics and Accountability provides advice to the Board of Ethics in hearings before the Board, makes referrals and presents cases to the Board for matters investigated by the Office, and represents the Board in matters referred to the judicial system.

START-UP OF THE OFFICE OF ETHICS AND ACCOUNTABILITY



Phase 1

The Office of Ethics and Accountability has secured the services of The Network (Make a Difference Hotline) to receive complaints regarding fraud, waste, abuse, illegal acts, and ethics violations 24-7.

The Office currently consists of 4 staff members that provide the investigative and administrative functions required under the Ethics Code and the Ethics and Accountability Code. The Office is working with a County vendor to implement a case management system that will provide comprehensive intake and documentation of all cases.

Phase 2

During the 2015 fiscal year, the Office will work with the Office of Information Technology and a vendor in developing electronic filing (e-Filing) for financial disclosure statements and lobbyist registrations and reports. Ethics training is also underway for County employees and will continue throughout the year. Training for boards and commissions will be phased in to assist appointed officials in understanding their ethical responsibilities while serving the County. The Board of Ethics continues to meet in compliance with the Ethics Code, which requires 5 meetings annually.

Phase 3

The Office of Ethics and Accountability will continue to report annually and post the reports on-line for public review. Currently, the Office provides a list of registered lobbyists and their reports for the previous reporting period on the County's website. The Ethics and Accountability Code requires an independent evaluation of the Office of Ethics and Accountability every 3-5 years.

ACCOMPLISHMENTS

- Launched the “Make a Difference Hotline”: Posters for the “Make a Difference” Hotline were posted in all County facilities; pamphlets were distributed to employees by agencies.
- Launched the Office of Ethics and Accountability website: The website was developed to provide (1) frequently used forms in PDF-fillable format to be more user friendly, (2) information regarding Board of Ethics meetings, such as notices, agenda, and minutes in compliance with the Open Meetings Act, and (3) information on reporting, fraud, waste and abuse and illegal acts.
- Updated financial disclosure statements: The Financial Disclosure Statement form was updated to comply with statutory changes made by CB-36-2012 to bring the County’s Ethics Code into compliance with the State Ethics Commission requirements. These changes were incorporated in the paper forms distributed to designated filers and also made available on the County’s website in PDF-fillable format.
- Collaborated with the Office of Central Services on current vendor list posted on the website: The Director of the Office of Central Services provided a list of business entities “doing business” with County Government for the 2013 calendar year. The Office of Ethics and Accountability posted this list on the website in order to make it available to all persons subject to filing financial disclosure statements. This list of vendors assisted individuals in accurately completing their financial disclosure statements that require filers to list the following: (1) gifts from persons doing business with the County, (2) offices, directorship or employment with businesses doing business with the County, and (3) indebtedness to persons doing business with the County.
- Established regular monthly Board meetings and Advisory Opinion process: The Board of Ethics established regular monthly meetings to bring the County into compliance with the Ethics Code, which requires the Board to meet at least 5 times annually. The Board began meeting in December 2013, and closed the fiscal year with 6 meetings. The Board will resume regular meetings on September 12, 2014. As a result of regular meetings, the Board was able to adopt a process for individuals to request and receive formal and informal advisory opinions in a timely manner. The Board has issued 11 formal advisory opinions during the 2014 fiscal year. These opinions are available to the public and will be posted on the County’s website.
- Commenced Ethics training: The Office completed two ethics trainings during the fiscal cycle; one focused on employees and the second focused on lobbyists. The first entailed training for Executive Leadership in collaboration with the Office of Human

Resources Management. The second training was in collaboration with the County Legislative Branch which hosted the Public Ethics Workshop.

- **Worked with Office of Law and the Chief Administrative Officer on Executive Order 13-2014 designating Boards and Commissions to file financial disclosure statements to provide a comprehensive list of designated filers.**

MAJOR OBJECTIVES FOR FISCAL YEAR 2015

The Office of Ethics and Accountability will continue to focus on establishing processes to govern its core services: Investigations and evaluations of County operations, collection of financial disclosure statements for individuals and lobbyists, and provision of ethics training and advice.

The Office has deemed the following items as priorities for 2015:

1. The Office of Ethics and Accountability is in need of a comprehensive case management system to more efficiently and accurately perform its service of investigating alleged violations of the Ethics Code and reports of fraud, abuse and illegal acts. It is intended this tool will:
 - Automate the current paper-based process for handling and tracking of reported allegations, concerns and/or complaints
 - Facilitate the investigation/adjudication process
 - Deliver reports that provide visibility on status and disposition of all complaints
 - Increase the County's ability to serve its constituents and employees
 - Further reduce the use of paper in its operations
2. Acquisition and implementation of an e-Filing system to replace the current, paper-based process for filing financial disclosure statements and lobbyist forms with the Office of Ethics and Accountability. This tool is essential to our ability to effectively enforce the Prince George's County Code of Ethics. Key desired outcomes include:
 - Increase in accuracy of the forms completed and submitted by officials, employees, and lobbyists
 - Reduction in the number of County resources required to review/validate submitted forms, and
 - Elimination of the use of paper in this process
3. Development of a County-wide ethics training program for its employees, officials, appointees and lobbyists. The program's principal objective is the incremental implementation of a systemic and global approach towards ethics education.
4. Development of a secondary employment approval process to avoid conflicts of interest, ensure impartiality and independence of judgment and avoid the appearance of conflicts of interest. The Ethics Code restricts secondary employment by officials and employees of the County. Additionally, this will afford the County an opportunity to align itself with the State Ethics Commission, which also expresses a similar standard stating the need for public servants to act diligently, faithfully and without partiality or prejudice.
5. Submission to the County Council draft legislation to facilitate the fulfillment of functions under the Ethics Code and Ethics and Accountability Code. This item is discussed further within the next section *Proposed Legislative Changes*.

PROPOSED LEGISLATIVE CHANGES

The Office of Ethics and Accountability supports modifying certain provisions of the Code of Ethics in the following manner:

- Reflect changes recently made by the Maryland General Assembly to the State Ethics Laws. During the 2014 legislative session, the General Assembly, upon request by the State Ethics Commission, enacted legislation repealing a requirement that a physical authorization form signed by the entity that engages a lobbyist be submitted to complete the State's lobbying registration process. In lieu of the physical authorization, a lobbyist must certify under oath or affirmation that the lobbyist is authorized to engage in lobbying on behalf of the entity that engaged it.
- Replace where appropriate, the County office named the "Office of Law" with the County office named the "Office of Ethics and Accountability" wherever the Office of Law appears in the Code of Ethics. Prior to the creation of the Office of Ethics and Accountability, the Office of Law provided administrative support to the Board of Ethics (Board). However, since the passage of Council Bill 63-2012, which established the Office of Ethics and Accountability, the Executive Director of Office of Ethics and Accountability has been the Executive Director of the Board. Office of Ethics and Accountability now provides the Board with administrative support.
- Expand the applicability of the Ethics Code to include cohabiting individuals. Adding "cohabitating" or similar language would broaden the list of individuals an official or employee would have to consider when engaging in regulated conduct and interests. The term or similar language would also serve to close loop holes in the Ethics Code that could be used to circumvent its spirit and intent.
- Change the reporting period for the Board of Ethics beyond the due date for lobbyist reports and the submission of financial disclosure statements. Moving the reporting date to the end of August would allow the Board to provide more complete information to the County Executive and the County Council in compliance with the Code.

The proposed amendments to the Code of Ethics embodied in these legislative proposals require approval by the State Ethics Commission in addition to enactment by the County Council.

APPENDICES

APPENDIX A

COMPLAINTS

Date	Source	Case Type	Nature of Allegation	Investigation Status	Disposition
9/2013	Citizen	Theft of Goods / Services	Volunteer is taking books and offering them for sale on internet	No investigation Referred to agency	Complainant retracted
10/2013	Citizen	Government Activity - Local Government	Municipality misuses citations and appeal process to city board of ethics and personnel actions against employees who enforce city codes	Investigated	Outside the scope of office / Unsubstantiated
10/2013	Citizen	Government Activity - Local Government	Collusion between municipality, the County, and State governed agency to enhance commercial development in residential areas	Investigated	Outside the scope of office / Unsubstantiated
12/2013	Citizen	Illegal Act	Employee requested money from business owner to avoid a citation	Referred to law enforcement for investigation	Insufficient evidence
1/2014	Anonymous	Fraud	Check fraud by a company citizen contacted to set up a work from home business	Referred to Federal Trade Commission and law enforcement	Outside scope of office
1/2014	Citizen	Illegal Act/Misuse of County Resource	County employee asked store owner for money to remove snow using County vehicle	Investigated by agency with follow up by office	Unsubstantiated
1/2014	Anonymous	Kickback	Employee accepted a bribe	Waiting for person reporting to provide information	Insufficient evidence

Date	Source	Case Type	Nature of Allegation	Investigation Status	Disposition
1/2014	Anonymous	Employee Relations	Hostile work environment, unsafe office location, violation of County hiring practices	Investigated	Unsubstantiated
1/2014	Citizen	Government Inspections	Improper inspection by County inspector allowed deficient installation of deck by contractor	Different inspector went to perform inspection	Unsubstantiated/training for inspector on better communication with citizen
1/2014	Contractor	Government Procurement	Contractor not paid for on-going services to County agency	Referred to agency	Substantiated / Vendor paid
2/2014	Agency	Misuse of Government Resources	Employee used County PC to request County payment of relative's invoices for services to the County	Investigated Discipline recommended	Substantiated / Disciplined
2/2014	Employee	Employee Relations	Employee was denied administrative leave to complete a program previously approved	Referred to appropriate agency	Outside the scope of office; matter pending before Personnel Board
3/2014	Employee	Employee Relations	Concern regarding the process of employee being disciplined	Investigated	Unsubstantiated
3/2014	Citizen	Government Inspections	Citizen received multiple zoning citations for the same violation	Investigated	Substantiated/Agency verified citizen bringing violation into compliance
3/2014	Citizen	Government Relations	Citizen would like agency to change its policy regarding accident reporting	Referred to agency	Outside the scope of office
3/2014	Citizen	Government Relations	Request assistance for family	Referred to agency for assistance	Outside the scope of office

Date	Source	Case Type	Nature of Allegation	Investigation Status	Disposition
3/2014	Citizen	Prestige of Office	States Attorney Office dropped charges as a favor for a friend, which also led to other financial burdens for the complainant	Referred to State Ethics Commission and agency for assistance with hardship	Outside the scope of office/ Agency governed by State Ethics Commission
3/2014	Anonymous	Misuse of Government Resources	Citizen observed employee using a County vehicle parked in front of a house daily during work hours	Referred for investigation	Substantiated / Disciplined
3/2014	Citizen	Prestige of Office	County employee used employee's influence to prevent a political event from occurring at a recreation center	Investigated; Referred to State Ethics Commission	Outside the scope of office/ Persons alleged are not County employees or officials
3/2014	Citizen	Government Relations	Citizen was denied a liquor license and dissatisfied with treatment by agency	Referred to agency	Outside the scope of office
3/2014	Agency	Theft of Goods / Services	County employee observed by law enforcement filling employee's personal vehicle at the County gas pump.	Investigated	Substantiated/terminated
3/2014	Agency	Lobbying	Citizen testifying at Council hearing not registered as a lobbyist	Investigated	Unsubstantiated / education campaign needed on lobbying
3/2014	Anonymous	Employee Relations	Employee witnessed disrespectful and racially discriminatory comments by superiors	Referred to agency for investigation	Outside scope of office
4/2014	Anonymous	Theft of Time	Witnessed employees park at the front of a County building to scan their employee card to prevent being late for work	Referred to agency	Agency issued guidance on policy for using electronic time system in County newsletter

Date	Source	Case Type	Nature of Allegation	Investigation Status	Disposition
4/2014	Citizen	Government Activity	Agency is nonresponsive to citizen's request to expedite the renewal of citizen vehicle's registration	Referred to agency	Outside the scope of office
4/2014	Anonymous	Theft of Time	Coworkers are signing in another employee when the employee is not at employee's work station at the commencement of regular work hours	Referred to agency for investigation	Unsubstantiated
4/2014	Citizen	Illegal Act	County is illegally allowing development of casino	Referred to State Ethics Commission	Outside the scope office
4/2014	Anonymous	Theft of Time	Two employees are clocking each other in to avoid being late	Referred to agency for investigation	Substantiated for one employee/disciplined
4/2014	Anonymous	Government Activity	Employee was wrongfully terminated and agency misrepresented to a vendor employee's role in procurement process	Referred to Internal Auditor of agency for investigation	Outside the scope of office/Agency governed by State Ethics Commission
5/2014	Citizen	Government Inspections / Code Enforcement	County illegally removed personal property from property in probate court	Investigated	Unsubstantiated
5/2014	Citizen	Government Activity	Clerk of Court refused to record public documents	Referred to State Ethics Commission	Outside the scope of office/Agency governed by State Ethics Commission
5/2014	Anonymous	Theft of time	Employee leaves work station regularly for an unspecified amount of time after clocking in for the day and still takes lunch later in the day	Referred to agency for investigation	Unsubstantiated

Date	Source	Case Type	Nature of Allegation	Investigation Status	Disposition
5/2014	Citizen	Government Activity	Agency interpretation of an opinion rendered in an earlier law suit regarding ownership of feral cats	Met with citizen	Outside the scope of office
5/2014	Anonymous	Fraud	Public official hired former campaign worker and employee did not actually work	Investigated	Unsubstantiated
5/2014	Anonymous	Government Relations	Condominium has a lapse in an active home owner's association.	Referred to the agency	Outside the scope of office
5/2014	Citizen	Government Relations	Staff are disrespectful and inconsiderate to customers and people with disabilities	Referred to agency	Outside the scope of office
5/2014	Employee	Safety	Employee blocked from exiting office by supervisor	Referred to agency	Outside the scope of office
6/2014	Anonymous	Fraud	Former employee is receiving disability retirement but engages in sporting activity that suggests otherwise	Investigated	Unsubstantiated
6/2014	Anonymous	Fraud	Retired employee receives Social Security retirement benefit while generating income from leasing personal property	Investigated	Unsubstantiated
6/2014	Citizen	Prestige of Office	Investigation is unfair because of the relationship between a government official and assigned caregiver affected the case's outcome	Investigated	Unsubstantiated

Date	Source	Case Type	Nature of Allegation	Investigation Status	Disposition
6/2014	Citizen	Misuse of County Resources	Public official misused County resources when mailing newsletter close to primary election	Investigated; Referred to Ethics Board	Unsubstantiated; Dismissed by Ethics Board

APPENDIX B

2013 REGISTERED LOBBYISTS

No	Lobbyist Name	Address	Organization Represented
1.	Abbruzzese, Rick	25 Duke Street Annapolis, Maryland 21401	Walton Maryland II, LLC
2.	Albert, Nina	701 8th Street, NW, Suite 200 Washington, DC 20001	Wal-Mart Stores, Inc.
3.	Baker, Earnest	10109 Legacy Court Clinton, Maryland 20735	Pepco Holdings, Inc.
4.	Battle, Kenneth J.	54 State Circle Annapolis, Maryland 21401	Chem-Met Co., Inc.
5.	Bellamy, Lorenzo M.	54 State Circle Annapolis, Maryland 21202	Walker Benefit Services, LLC
6.	Bennett, Tyler	54 State Circle Annapolis, Maryland 21201	Walker Benefit Services, LLC
7.	Bereano, Bruce C.	191 Duke of Gloucester Street Annapolis, Maryland 21401	Safeway, Inc. Maryland Association of Tobacco and Candy Distributors
8.	Carrington, Darrell	6007 Hillmeade Rd. Bowie, Maryland 20720	AFSCME Council 67 DD Land Holding, LLC
9.	Dihopolsky, Heather,	1 Park Place, Suite 585 Annapolis, Maryland 21401	Washington Gas
10.	Duncan, Douglas M.	200 Forest Ave. Rockville, Maryland 20850	Lerner Corporation/Brightseat Associates, LLC Lerner Corporation/Springhill Lake Hotel Partners, LLC
11.	Evans, Gerard E.	191 Main Street Annapolis, Maryland 21401	Beltway Paving & BPSM Chaney Enterprises Maryland Transportation Builders & Materials Associates
12.	Evans, Hayley	191 Main Street Annapolis, Maryland 21401	Chaney Enterprises

No	Lobbyist Name	Address	Organization Represented
13.	Fowler, Michael L.	47 State Circle Suite 403 Annapolis, Maryland 21401	Baltimore Gas & Electric Company
14.	G.S. Proctor & Associates	14408 Old Mill Rd. Suite 201 Upper Marlboro, Maryland 20772	CareFirst BlueCross Blue Shield Clark Construction Group, LLC National Children's Museum Newton Development Company Timothy Brandywine Investment One LLC Timothy Brandywine Investment Two LLC
15.	Gibbs, Jr., Edward	1300 Caraway Court Suite 102 Largo, Maryland 20774	Six Flags America
16.	Gingles, Andre	11785 Beltsville Drive Suite 1350 Calverton, Maryland 20705	Wal-Mart Stores, Inc.
17.	Graham, Thomas H.	701 Ninth Street, NW Washington, DC 20068	Pepco Holdings, Inc.
18.	Graziano, Michael	9200 Basil Court, Suite 400 Largo, Maryland 20774	Prince George's County Association of Realtors, Inc.
19.	Haller, Thomas	1300 Caraway Court Suite 102 Largo, Maryland 20774	Largo Park Multifamily Development, LLC Cambridge Place at Westphalia, LLC
20.	Harris Jones, Lisa	2432 Maryland Ave. Suite 100 Baltimore, Maryland 21218	Auto Return Lorillard, Inc.
21.	Hatcher, Christopher	225 Duke Street Annapolis, Maryland 21401	Walton Maryland II, LLC
22.	Jackson, Marcus	1738 Elton Rd., Suite 200 Silver Spring, Maryland 20903	Maryland National Capital Building Industry
23.	Kelley, Darryl A.	6944 Allentown Rd. Camp Springs, Maryland 20748	Maryland Casino, LLC

No	Lobbyist Name	Address	Organization Represented
24.	Kline, Thomas C.	222 Central Park Ave. Suite 2000 Virginia Beach, VA 23462	Wal-Mart Stores, Inc.
25.	La Roca, Michelle	6801 Kenilworth Ave. Suite 400 Riverdale Park, Maryland 20740	Data Partners, LLC/LaserShip
26.	Lucas, Daniel P.	11951 Freedom Drive 13th Floor Reston, VA 20109	Liuna M.A.R.O.C.
27.	Malone, Sean	2432 Maryland Ave. Suite 100, Baltimore, Maryland 21218	Auto Return Lorillard, Inc.
28.	McDonough, Caitlin	2432 Maryland Ave. Suite 100, Baltimore, Maryland 21218	Lorillard, Inc.
29.	Parker, Midgett	1 Park Place Suite 585 Annapolis, Maryland 21401	Collective Empowerment Group Washington Gas
30.	Pasternak, Jerry	701 9th Street, NW Washington, DC 20068	Pepco Holdings, Inc.
31.	Reel, David	839 Bestgate Rd., Suite 400 Annapolis, Maryland 21401	Maryland Hotel & Lodging Association
32.	Rivera, Norman	17251 Melford Blvd., #200 Bowie, Maryland 20715	Joseph Smith & Sons NVR MS Cavalier Greenbelt, LLC NVR MS Cavalier Oak Creek Owner, LLC Synagro-WWT, Inc
33.	Roberts-Satinsky, Megan	1 Park Place, Suite 585 Annapolis, Maryland 21401	Washington Gas
34.	Rozner, Joel D.	225 Duke Street Annapolis, Maryland 21401	Walton Maryland II, LLC Waste Management of Maryland Optotraffic/Sigma Space Corporation
35.	Shaivitz, Robin	54 State Circle Annapolis, Maryland 21202	Walker Benefit Services, LLC

No	Lobbyist Name	Address	Organization Represented
36.	Shipley & Horne P.A.	1101 Mercantile Lane Suite 240 Largo, Maryland 20774	Open Door Housing Fund St. John Properties, Inc.
37.	Strategic Solutions Center	8181 Professional Place Suite 202 Landover, Maryland 20785	Johnson Controls, Inc. SAP Public Services, Inc. Gantech, Inc. Oakland Consulting
38.	Taft Hardy, Marina	9590 Lynn Buff Court Suite 5 Laurel, Maryland 20723	Clear Channel Outdoor
39.	Thompson, Melvin	6301 Hillside Court Columbia, Maryland 21046	Restaurant Association of Maryland
40.	Vaias, Emily and Dihoplsky, Heather	7200 Wisconsin Ave. Suite 800 Bethesda, Maryland 20814	Kaiser Foundation Health Plan of the Mid-Atlantic States, Inc.
41.	Valentino- Benitez, Ellen	90 Pinkney Street Annapolis, Maryland 21401	7-Eleven, Inc.
42.	Washington, Jr., Charles	701 9th Street, NW Washington, DC 20068	Pepco Holdings, Inc.
43.	Watkins, Tami	701 9th Street, NW Washington, DC 20006	Pepco Holdings, Inc.
44.	Wineholt, Ronald	1050 17th Street, NW Suite 300 Washington, DC 20036	Apartment & Office Building Association of Metropolitan Washington
45.	Wynn, Albert	1825 I Street, NW Washington, DC 20006	Lorillard, Inc.

2014 REGISTERED LOBBYISTS

No	Lobbyist Name	Address	Organization Represented
1.	Albert, Nina	701 8th Street, NW, Suite 200 Washington, DC 20001	Wal-Mart Stores, Inc.
2.	Appel, Erin	Capitol Strategies, LLC 1 State Circle Annapolis, Maryland 21401	MGM National Harbor, LLC
3.	Baker, Ernest	10109 Legacy Court Clinton, Maryland 20735	Pepco Holdings, Inc.
4.	Bennett, Tyler	54 State Circle Annapolis, Maryland 21401	International Assoc. of Fire Fighters Local 1619, Prince George's County
5.	Bryant, Eric	225 Duke of Gloucester Street Annapolis, Maryland 21401	Walton Development & Management
6.	Carroll, David	Capitol Strategies, LLC 1 State Circle Annapolis, Maryland 21401	MGM National Harbor, LLC
7.	Dihopolsky, Heather	1 Park Place, Suite 585 Annapolis, Maryland 21401	Washington Gas Summerfield Partners, LLC Forestville New Redeemer Baptist Church
8.	Fowler, Michael L.	47 State Circle, Suite 403 Annapolis, Maryland 21401	Baltimore Gas & Electric Company
9.	Garagiola, Robert	54 State Circle Annapolis, Maryland 21401	International Assoc. of Fire Fighters Local 1619, Prince George's County
10.	Gibbs, Edward	1300 Caraway Court Suite 102 Largo, Maryland 20774	Woodmore Towne Centre, LLC Migus, LLC
11.	Gingles, Andre	11785 Beltsville Drive Suite 1350 Calverton, Maryland 20705	Wal-Mart Stores, Inc.
12.	Graziano, Michael	9200 Basil Court, Suite 400 Largo, Maryland 20774	PG Association of Realtors
13.	GS Proctor and Associates	14408 Old Mill Rd. Suite 201 Upper Marlboro, Maryland 20772	Newton Development Co., LLC Clark Construction Blue Cross Blue Shields

No	Lobbyist Name	Address	Organization Represented
14.	Harris, LaTara	1120 20 th Street, NW Suite 800 Washington, DC 20036	AT&T
15.	Horne, Jr., Arthur	1101 Mercantile Lane Suite 240 Largo, Maryland 20774	Clear Channel Outdoor
16.	Jackson, Marcus	1738 Elton Rd., Suite 200 Silver Spring, Maryland 20903	Maryland National Capital Building Industry
17.	Johnson, Robert	Capitol Strategies, LLC 1 State Circle Annapolis, Maryland 21401	MGM National Harbor, LLC
18.	Kline, Thomas	222 Central Park Ave. Virginia Beach, Virginia 23462	Wal-Mart Store, Inc.
19.	Parker, Midgett	1 Park Place, Suite 585 Annapolis, Maryland 21401	Collective Empowerment Group Washington Gas Summerfield Partners, LLC Forestville New Redeemer Baptist Church
20.	Pasternak, Jerry	701 9th Street, NW Washington, DC 20068	Pepco Holdings, Inc.
21.	Malone, Sean	2423 Maryland Ave. Suite 100 Baltimore, Maryland 21218	ecoATM Corporate Piscataway Hills Citizen Association
22.	McDonough, Caitlin	2423 Maryland Ave. Suite 100 Baltimore, Maryland 21218	ecoATM Corporate Piscataway Hills Citizen Association
23.	Rifkin, Weiner, Livingston, Levintan & Silver, LLC	7979 Old Georgetown Rd. Suite 400 Bethesda, Maryland 20814	Province Treasurer
24.	Roberts-Satinsky, Megan	1 Park Place, Suite 585 Annapolis, Maryland 21401	Washington Gas Summerfield Partners, LLC Forestville New Redeemer Baptist Church
25.	Roddy, Patrick	225 Duke of Gloucester Street Annapolis, Maryland 21401	Walton Development and Management

No	Lobbyist Name	Address	Organization Represented
26.	Ross, Justin	125 Cathedral Street Annapolis, Maryland 21401	TruAcoity, Inc. Industrial Metal Recycling Community First Development Corporation The Peninsula Compost Group Sun Services
27.	Rozner, Joel D.	225 Duke Gloucester Street Annapolis, Maryland 21401	Waste Management of Maryland Optotrafic Wal-Mart Walton Development & Management MD, LLC
28.	Sheehan, Christopher Owens	18 West Street Annapolis, Maryland 21401	Shifel Nicolas & Company
29.	Sidh, Sushant	Capitol Strategies, LLC 1 State Circle Annapolis, Maryland 21401	MGM National Harbor, LLC
30.	Strategic Solutions Center, LLC	8181 Professional Place Suite 202 Landover, Maryland 20785	ATAPCO Properties, Inc.
31.	Thompson, Melvin	6301 Hillside Court Columbia, Maryland 21046	Restaurant Association of Maryland
32.	Washington, Jr., Charles	701 9th Street, NW Washington, DC 20068	Pepco Holdings, Inc.
33.	Watkins, Tami	701 9th Street, NW Washington, DC 20068	Pepco Holdings, Inc.
34.	Watson, Jr., Kerry R.	54 State Circle Annapolis, Maryland 21401	Fighters Local 1619, Prince George's County Lerner Corporation Aetna Life Insurance Company, Inc. Business Health Services International Assoc. of Fire

No	Lobbyist Name	Address	Organization Represented
35.	Weber, Joy	225 Duke Gloucester Street Annapolis, Maryland 21401	Walton Development & Management
36.	Wineholt, Ronald	1050 17th Street, NW Suite 300 Washington, DC 20036	Apartment & Office Building Association

APPENDIX C

INFORMAL ETHICS ADVICE

Date	Source	Case	Case Type	Issue	Opinion
10/2013	Employee	14-0003	Gift Prohibition	Customer left department a box of donuts.	Agency head may prohibit even though under \$20 when gift given to influence employees
11/2013	Employee	14-0008	Gift Prohibition	Employees ability to accept tickets to sporting events	Prohibited; not allowed but elected officials may attend events listed in §2-293(d)(4)(E) as a courtesy or ceremony extended to the office
12/2013	Employee	14-0011	Gift Prohibition	Employee received a gift, requests advice on how to return the gift	Prohibited gift that is parishable may be given to a charity or destroyed if it is not possible to give away
03/2014	Employee	14-0024	Gift Prohibition	Agency wants to solicit vendor to donate awards at a community event	Prohibited; Ethics Code §2-293(d)(1) prohibits employees from soliciting gifts
03/2014	Employee	14-0033	Conflict of Interest	Director serving on a board of entity that could potentially contract with the County	Employee may not participate in any matter with an entity when employee is an officer, director, trustee, partner or employee without a waiver from the Board
03/2014	Employee	14-0034	Conflict of Interest	Agency head serving on a board or commission that could potentially contract with the County	Employee may not participate in any matter with an entity of which employee is an officer, director, trustee, partner or employee without a waiver from the Board

Date	Source	Case	Case Type	Issue	Opinion
03/2014	Employee	14-0038	Conflict of Interest	Payment of employee's travel expenses by an entity that does business with the County to allow employee to present at the company sponsored conference	Not prohibited under Ethics Code § 2-293(d)(4)(D) that allows reasonable expenses for food, travel, lodging and entertainment at a meeting in return for official or employee participation on a panel or speaking at the meeting
03/2014	Employee	14-0039	Gift Prohibition	Vendor seeking to provide appreciation lunch to agency employees	Prohibited; Vendor is a controlled donor and lunch even if less than \$20 per employee creates an appearance of a conflict, effecting impartiality of employees
04/2014	Agency	14-0042	Secondary Employment	Prospective employee is a state political candidate and the job duties entail working on legislation	May be prohibited under State Ethics Code; Ethics Code prohibits secondary employment that creates a conflict or an appearance of a conflict
04/2014	Employee	14-0043	Conflict of Interest	Payment of employees training and lodging by an organization that engages in business with the County	Prohibited; Does not fall under the gift exception for reasonable expenses associated with employee attending meeting to speak or participate on a panel

Date	Source	Case	Case Type	Issue	Opinion
04/2014	Employee	14-0046	Political Activity	County employee engaging in political activities during work hours and/or on County property by parking employee's vehicle with magnetic campaign signs on vehicle on County owned or leased property	Outside the scope of Ethics and Accountability; Political activity by employees is governed by personnel law and Hatch Act; however, use of County resources for personal gain is prohibited under the Ethics Code
04/2014	Employee	14-0048	Post-Employment	Potential conflicts arising out of duties and responsibilities as an appointed official in post employment contract	Not prohibited as long as employee complies with § 2-293 of Ethics Code and County's procurement process in contracting with the County
04/2014	Employee	14-0051	Gift Prohibition	Vendor seeking to provide tickets to employees to view video advertisement created pursuant to a contract	Not prohibited for viewing of the advertisement, but if employees stay to watch movie then must disclose as a gift from a controlled donor and cannot accept if greater than \$20
05/2014	Appointed Official	14-0053	Conflict of Interest – Political Activity	Informal advice on whether a board member can assist in conducting a candidate forum for an HOA	Not prohibited; official is not supporting a candidate which would be contrary to the signed policy of the board on which official sits
05/2014	Employee	14-0058	Secondary Employment	Employee participating in a pilot online course in which contribution to a book chapter may result	Not prohibited but employee must not use County title since employee may inure personal benefit from book chapter publication

Date	Source	Case	Case Type	Issue	Opinion
06/2014	Employee	14-0067	Secondary Employment	Provide consulting on projects with a client in another jurisdiction	Not prohibited if approved by Agency Director and general provisions of Ethics Code, § 2-293 governing secondary employment are not violated
06/2014	Employee	14-0069	Conflict of Interest	County contractor/vendor offering to pay for county employee training at event employee is not speaking or serving on panel	Prohibited; Does not fall under the gift exception for reasonable expenses associated with employee attending meeting to speak or participate on a panel
06/2014	Appointed Official	14-0072	Conflict of Interest	Employee sits on both the County's evaluation committee and board of a bidder engaged with the same potential contract	Prohibited; Employee may not participate in any matter with an entity of which employee is an officer, director, trustee, partner or employee without a waiver from the Board
06/2014	Employee	14-0073	Political Activity	Employee sought informal ethics advice on engaging in political activity by working at polls on election day	Outside the scope of Ethics and Accountability; Political activity by employees is governed by personnel law and Hatch Act; however, use of County resources for personal gain is prohibited under the Ethics Code

APPENDIX D

FORMAL ADVISORY OPINIONS

Date	Source	Case	Case Type	Issue	Opinion
10/11/2013	Employee	14-0002	Conflict of Interest	Contracting with non-profit vendor after County employee's term on Board of Directors expires	Not prohibited; The Ethics Code has express post-employment restrictions but is silent regarding term expiration as a board member
12/06/2013	Former Employee	14-0006	Post-employment	Employee involvement on contract after leaving County employment that employee voted on in the procurement process	Prohibited; Significant participation on contract prohibits work on the contract
12/06/2013	Employee	14-0007	Conflict of Interest	Director seeks guidance on potential conflict of interest where relative provides consulting to potential bidders of County contracts	Prohibited; employee must recuse self from proceedings providing recommendations on proposals
01/10/2014	Appointed Official	14-0009	Conflict of Interest	An appointed commission member wishes to intern with a County Agency in an unpaid capacity	Not prohibited; Agency where member will volunteer is not subject to the commission's authority or oversight
01/30/2014	Employee	14-0007A	Conflict of Interest	Director seeks guidance on potential conflict of interest where relative provides consulting to potential bidders of County contracts	Prohibited; employee must recuse self from proceedings providing recommendations on proposals

Date	Source	Case	Case Type	Issue	Opinion
02/07/2014	Employee	14-0019	Conflict of Interest	Contractor's spouse works in County Government but in a separate agency for which contractor provides services	Not prohibited; employee has no oversight over contract and works in a different agency
03/06/2014	Appointed Official	14-0012	Conflict of Interest	Board/Commission member wishes to respond to solicitations for contracts from other agencies or entities doing business with the County	Not prohibited under Ethics Code; however, the County Charter and procurement laws provide further guidance which are beyond the scope of the Board of Ethics
03/13/2014	Employee	14-007B	Conflict of Interest	Director seeks reconsideration on potential conflict of interest where relative provides consulting to potential bidders of County contracts	Not prohibited as to past interests, and certain restriction on present and future interests
03/19/2014	Employee	14-0023	Post-employment	Prospective advice on level of involvement employee may have with contractor who is doing business with the County	Employee cannot represent party in a matter contrary to the County or on any matter employee had significant participation
04/01/2014	Employee	14-0021	Conflict of Interest	Employee's relative provides snow removal for County	Not prohibited; employee has no financial interest in the business and has no oversight over the contract which is with a different agency
04/11/2014	Employee	14-0037	Conflict of Interest	Employee has a business and also works for agency that provides contracts to minority owned businesses	Not prohibited; may not use information from employee's position for personal gain, and employee may not contract or subcontract for entity doing business

Date	Source	Case	Case Type	Issue	Opinion
					with the County
05/29/2014	Former Employee	14-0052	Post-employment	Post-employment limitations and restrictions regarding representing a party other than the County on procurement matters	Employee cannot represent party in a matter contrary to the County or on any matter employee had significant participation