



ETHICS COMMISSION

CITY AND COUNTY OF SAN FRANCISCO

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LEEANN PELHAM
EXECUTIVE DIRECTOR

Date: May 17, 2017

To: Members of the Ethics Commission

From: Jessica Blome, Deputy Director, Enforcement & Legal Affairs

Subject: **AGENDA ITEM 9**
Enforcement Program Report for the May, 2017, Meeting

Summary: This report highlights programmatic information and operational updates related to the Enforcement Program.

Action Requested: No action is required by the Commission, as this item is only for informational purposes.

Programmatic Highlights

Staff has been busy preparing for and training new investigators. Staff's preliminary review of the oldest complaints on file is well underway. Staff will be able to present several case resolutions to the Commission over the coming months.

In addition, Staff is undertaking a comprehensive review of existing enforcement regulations that direct how Staff reviews and prosecutes administrative complaints within the Ethics Commission's jurisdiction. Staff has reviewed enforcement provisions in the Political Reform Act and City ordinances for Oakland and Los Angeles. Staff is tentatively planning to present a first draft of proposed regulations for the Commission and public's consideration in June, per the Commission's Annual Policy Plan. Staff anticipates holding Interested Persons Meetings in July or August regarding its proposed enforcement regulations, which it will present to the Commission for final approval this Fall.

Operational Updates/Investigative Caseload Data

Investigative matters under the jurisdiction of the Ethics Commission are treated as formal complaints meriting investigation if, based on the allegations and Executive Director's preliminary review, the Executive Director determines there is reason to believe a violation of law may have occurred. Once the Executive Director has determined that she has reason to believe a violation of law may have occurred, that complaint is logged as a formal complaint. Table 1 summarizes the number of pending formal complaints within the Ethics Commission's jurisdiction that remained pending as of May 15, 2017. More detailed information about the Commission's enforcement caseload is provided in Attachment 1.

Attachment 1 offers a snapshot of the number, age, and general nature of matters in preliminary review as well as our open formal complaints as of May 15, 2017.

Table 1 – Summary of Pending Formal Complaints, by Type, as of May 15, 2017

Type	Number
Campaign Finance	7
Governmental Ethics	12
Lobbyist Ordinance	3
Sunshine Ordinance	0
Whistleblower Ordinance (Retaliation)	2
Total	24

Referrals to Bureau of Delinquent Revenues

The following chart summarizes the status of accounts that remain active that have been referred by the Ethics Commission to the City’s Bureau of Delinquent Revenues.

Committee /Filer	ID #	Treasurer/ Responsible Officer	Referral	Original Amount Referred	Last Month’s Balance	Current Balance	Status
Chris Jackson	1347066	Chris Jackson	7/12/13	\$6,601	\$6,601	\$6,601	Writ of Execution prepared for Small Claims Judgment, Case # CSM-12-842613 (Filed 5/4/2017)
Committee to Elect Norman for Supervisor	1327771	Jacqueline Norman	5/01/15	\$9,000	\$9,000	\$9,000	Filed case in Small Claims Court, Case # CSM-17-855221. Hearing date for 7/5/2017. Will seek judgment.
Bob Squeri for District 7	1346150	Bob Squeri	5/01/15	\$2,000	\$2,000	\$2,000	Non-responsive to contact attempts; obtained business contact information and left message for Mr. Squeri. Located property for Mr. Squeri. Mailed intent to file Small Claims letter week of May 8, 2017.

Committee /Filer	ID #	Treasurer/ Responsible Officer	Referral	Original Amount Referred	Last Month's Balance	Current Balance	Status
Isabel Urbano	153993	Isabel Urbano	3/23/16	\$7,000	\$7,000	\$7,000	Urbano has moved to NY. Payment terms are \$75/month due on the 15 th of the month. May payment received.
Chris Jackson	22-12119	Chris Jackson	9/26/16	\$6,100	-	\$6,100	Filed case in Small Claims Court, Case # CSM-17855223. Hearing date for 7/5/2017. Will seek judgment.
Lynette Sweet	3544713	Lynette Sweet	12/29/16	\$74,408	--	\$74,408	BDR Legal Section sent demand letter week of 5/8/2017. Real property within SF discovered. If no response from Sweet, will prepare Writ of Execution.
						Total: \$103, 609	

Status of Outstanding Penalty Installment Plans

Name	FPPC No.	Total Owed	Payment Amount	Last Received	Outstanding Balance	Current: Yes/No
Kim Shree Maufas	1284567	\$2,575	\$50	4/17/17	\$450	Yes
Kim Shree Maufas	1328923	\$2,000	\$50	4/17/17	\$450	Yes
Stuart Schuffman	1377997	\$2,552	\$1276	3/29/17	_____	Yes

I look forward to answering any questions you might have at the upcoming Commission meeting.

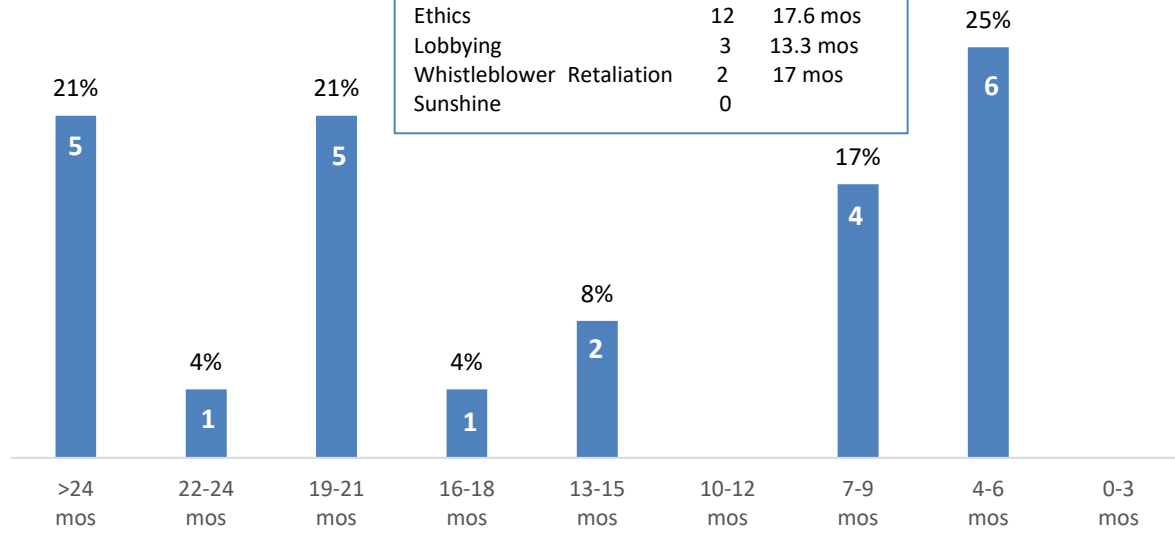
Agenda Item 9, Attachment 1

Age of Open Formal Complaints Caseload

as of May 15, 2017 (n=24)

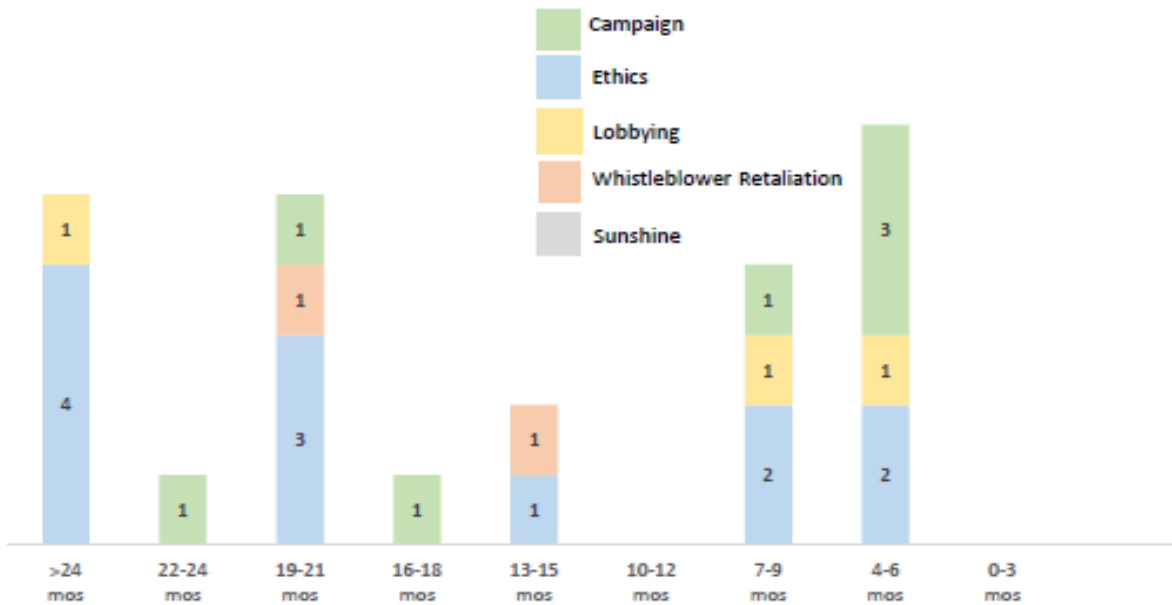
15.4 months = average age of 24 open formal complaints

Type	#	Avg Age
Campaign	7	12 mos
Ethics	12	17.6 mos
Lobbying	3	13.3 mos
Whistleblower Retaliation	2	17 mos
Sunshine	0	



Caseload of Open Formal Complaints, by Age and Type

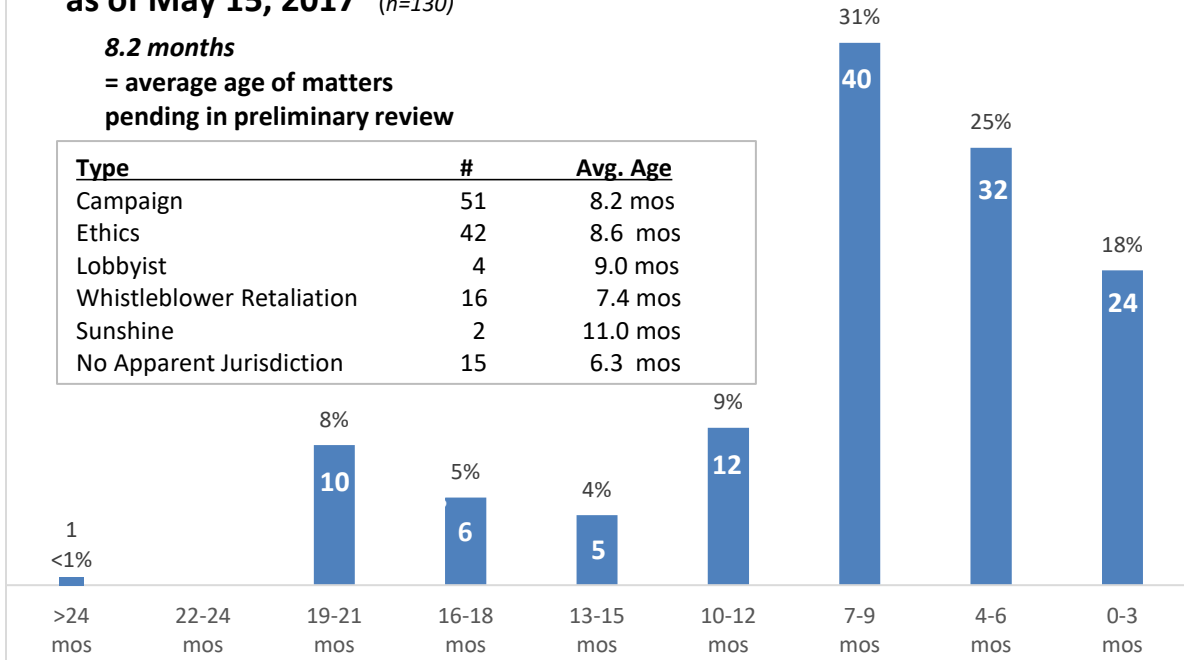
as of May 15, 2017 (n=24)



Age of Matters in Preliminary Review as of May 15, 2017 (n=130)

8.2 months
= average age of matters
pending in preliminary review

Type	#	Avg. Age
Campaign	51	8.2 mos
Ethics	42	8.6 mos
Lobbyist	4	9.0 mos
Whistleblower Retaliation	16	7.4 mos
Sunshine	2	11.0 mos
No Apparent Jurisdiction	15	6.3 mos



Caseload of Matters Under Preliminary Review (PR), by Age and Type as of May 15, 2017 (n=130)

- Campaign
- Ethics
- Lobbying
- Whistleblower Retaliation
- Sunshine
- No apparent jurisdiction

