



ETHICS COMMISSION

CITY AND COUNTY OF SAN FRANCISCO

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LEEANN PELHAM
EXECUTIVE DIRECTOR

Date: October 18, 2017

To: Members of the Ethics Commission

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

Subject: **Agenda Item 11: Enforcement Program Report for the October 23, 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

The Commission received nine new complaints since September 17, 2017. After completing a preliminary review, investigators opened four new investigations. Thirty-one preliminary review reports are under review by the Executive Director. In total, 107 complaints remain in preliminary review as of October 17, 2017. Attachment 1 contains additional detail regarding matters under preliminary review. In October, two open investigations were closed pursuant to Stipulated Decisions and Orders, which will be posted on the Commission's website as soon as they are finalized. Attachment 2 contains additional detail regarding open investigations. Finally, over the last month, work has continued to resolve open investigations, including settlement negotiations where appropriate.

Update on Enforcement Regulation Revision Stakeholder Engagement

Staff received two written public comments before the October 15, 2017, deadline. Staff responds to each comment and recommendation from those interested persons in the memorandum associated with Agenda Item 9.

Operational Updates/Investigative Caseload Data

Investigative matters under the jurisdiction of the Ethics Commission are treated as formal complaints meriting investigation after the Executive Director's preliminary review finds there is reason to believe a violation of law may have occurred. Once the Executive Director has made that determination, 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 October 17, 2017. More detailed information about the Commission’s enforcement caseload is provided in Attachment 1. Attachment 2 offers a snapshot of the number, age, and general nature of matters in preliminary review as of October 17, 2017.

Table 1 – Summary of Pending Formal Complaints, by Type, as of October 17, 2017

Type	Sept. 2017	Oct. 2017
Campaign Finance	24	20
Governmental Ethics	16	15
Lobbyist Ordinance	5	5
Sunshine Ordinance	0	0
Whistleblower Ordinance (Retaliation)	2	2
Total	47	42

Referrals to Bureau of Delinquent Revenues

Table 2 – Summary of the status of accounts that remain after referral 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	\$5,100.99	Judgment obtained 10/4/2017, Superior Court of San Francisco CSM-15 855905.
Committee to Elect Norman for Supervisor	14-131112	Jacqueline Norman	5/01/15	\$9,000	\$9,000	\$9,000	Writ of execution filed in Superior Court of San Francisco CSM-15 855906 on 10/4/2017.
Isabel Urbano	SFO-153993	Isabel Urbano	3/23/16	\$7,000	\$6,850	\$6,850	Debtor made payment of \$225 to BDR. Debtor said will make 3 payments of \$75 on 9/14/17. Payment not received as of 10/17/17.
Chris Jackson	22-12119	Chris Jackson	9/26/16	\$6,100	-	\$6,100	Judgment obtained 10/4/2017, Superior Court of San Francisco CSM-15 855905.
Lynette Sweet	3544713	Lynette Sweet	12/29/16	\$74,408.19	--	\$74,408.19	Superior Court of San Francisco, CGC-

							17-559886. Case Management Conference set for 11/29/17. Pending for proof of service.
						Total: \$103,459.70	

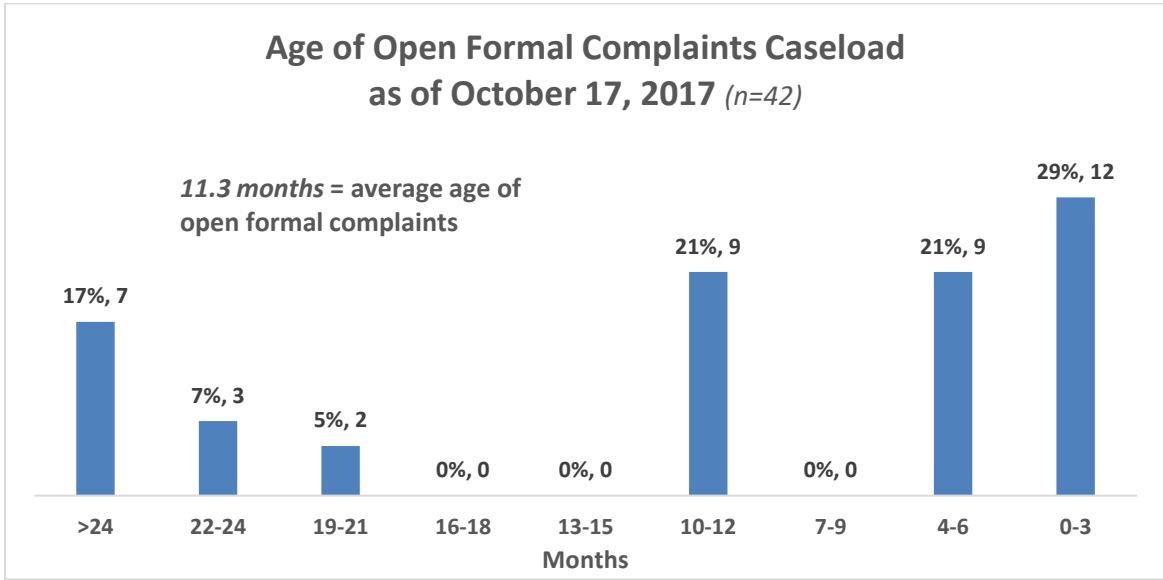
Status of Outstanding Penalty Installment Plans

Table 3 – Summary of penalty installment plans as of October 17, 2017

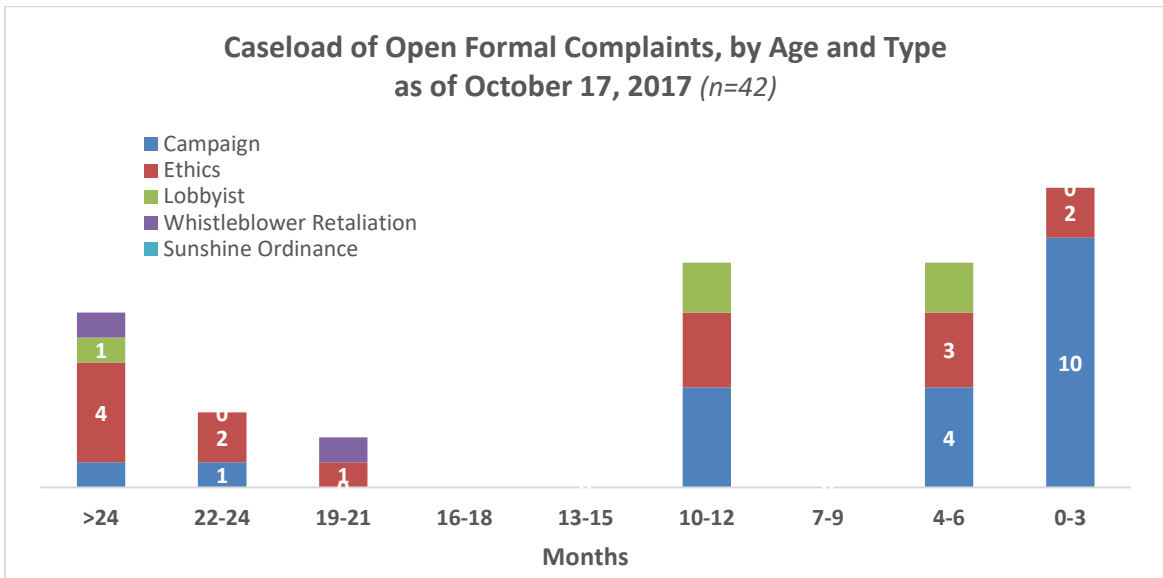
Name	FPPC No.	Total Owed	Payment Amount	Last Received	Outstanding Balance	Current: Yes/No
Kim Shree Maufas	1284567	\$2,575	\$50	10/16/17	\$200	yes
Kim Shree Maufas	1328923	\$2,000	\$50	10/16/17	\$200	yes

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

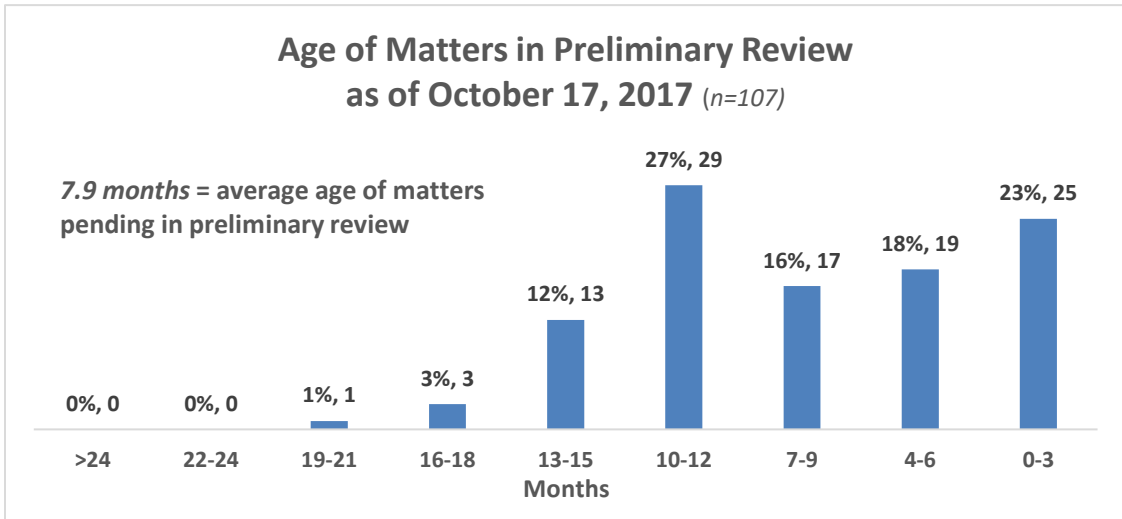
Agenda Item 11, Attachment 1



Type	#	Avg.Age
Campaign	20	6.7
Ethics	15	15.5
Lobbyist	5	12.8
Whistleblower Retaliation	2	22.5
Sunshine	0	0.0
No Apparent Jurisdiction	0	0.0



Agenda Item 11, Attachment 2



Type	#	Avg. Age
Campaign	31	8.4
Ethics	37	6.6
Lobbyist	6	8.2
Whistleblower Retaliation	23	9.9
Sunshine Ordinance	0	0.0
No Apparent Jurisdiction	10	6.1

