



# ETHICS COMMISSION

## CITY AND COUNTY OF SAN FRANCISCO

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LEEANN PELHAM  
EXECUTIVE DIRECTOR

Date: March 12, 2018

To: Members of the Ethics Commission

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

Subject: **AGENDA ITEM 9: Enforcement Report for the March 16, 2018 Meeting**

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**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**

Since February 9, 2018, the Commission received fourteen new complaints, and the Executive Director determined that eighteen complaints merited dismissal because Staff found no basis to believe a violation of the law within the Commission's jurisdiction had occurred. The Enforcement & Legal Affairs program opened eight new investigations since February 9, 2018. In total, 45 complaints remain in preliminary review as of March 9, 2018. Attachment 1 contains additional detail regarding matters under preliminary review. 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 Regulations**

On Saturday, January 20, Staff transmitted the Enforcement Regulations, which were adopted by the Commission during its January 19, 2018, meeting, to the Board of Supervisors for review. The Board has sixty days to object to the regulations. Absent any objections, the Regulations will become final and enforceable on March 19, 2018.

### **Investigator Training**

On Monday, February 26, Staff attended an all-day Advanced Investigative Seminar hosted by the Department of Human Resources and outside public law attorney Jeff Sloan. Staff learned about new investigatory methods, obtained valuable guides and resources, and connected with investigators responsible for conducting personnel investigations across the City.

## 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 March 9, 2018. As noted above, more detailed information about the Commission’s enforcement caseload is provided in Attachment 2. Attachment 1 offers a snapshot of the number, age, and general nature of matters in preliminary review as of March 9, 2018.

Table 1 – Summary of Open Investigations by Type as of March 9, 2018:

Type	Feb. 2018	March 2018
Campaign Finance	32	35
Governmental Ethics	23	26
Lobbyist Ordinance	5	6
Sunshine Ordinance	0	0
Whistleblower Ordinance (Retaliation)	5	6
<b>Total</b>	<b>65</b>	<b>73</b>

## 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	Preparing the Order of Examination for filing.
Committee to Elect Norman for Supervisor	14-131112	Jacqueline Norman	5/01/15	\$9,000	\$9,000	\$9,000	Preparing the Order of Examination for filing.
Isabel Urbano	SFO-153993	Isabel Urbano	3/23/16	\$7,000	\$6,850	\$6,850	Debtor non-responsive to making payment arrangements. Debtor has ceased communication. Debtor lives and works in NY.

Chris Jackson	22-12119	Chris Jackson	9/26/16	\$6,100	-	\$6,100	Preparing the Order of Examination for filing.
Lynette Sweet	3544713	Lynette Sweet	12/29/16	\$74,408.19	--	\$74,408.19	Debtor filed for bankruptcy. N.D. Cal. Case No. 17-31041.
<b>Total: \$101,459</b>							

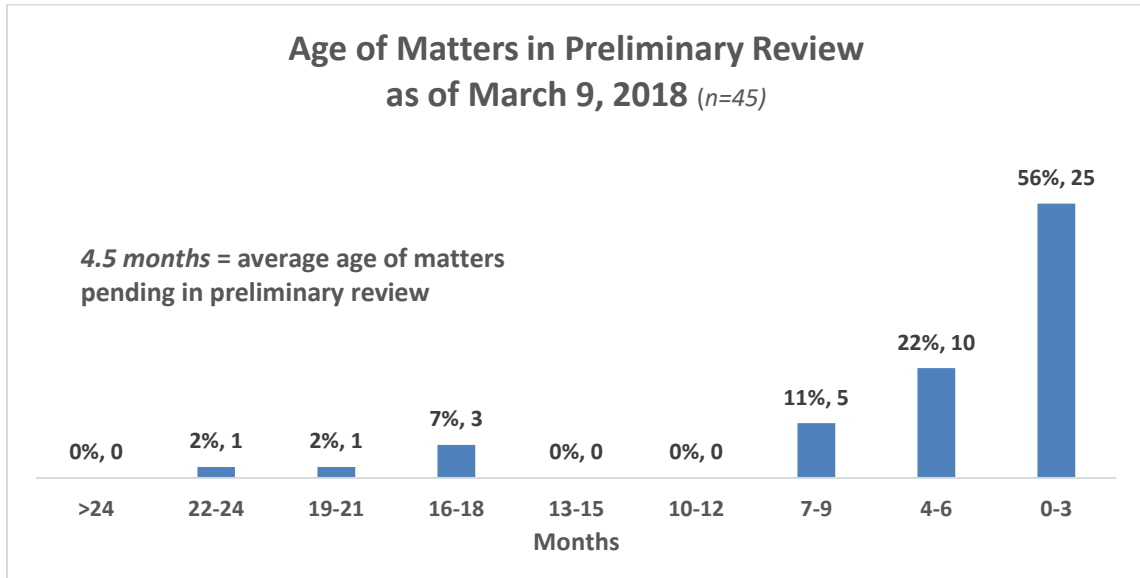
**Status of Outstanding Penalty Installment Plans**

Table 3 – Summary of penalty installment plans as of March 9, 2018:

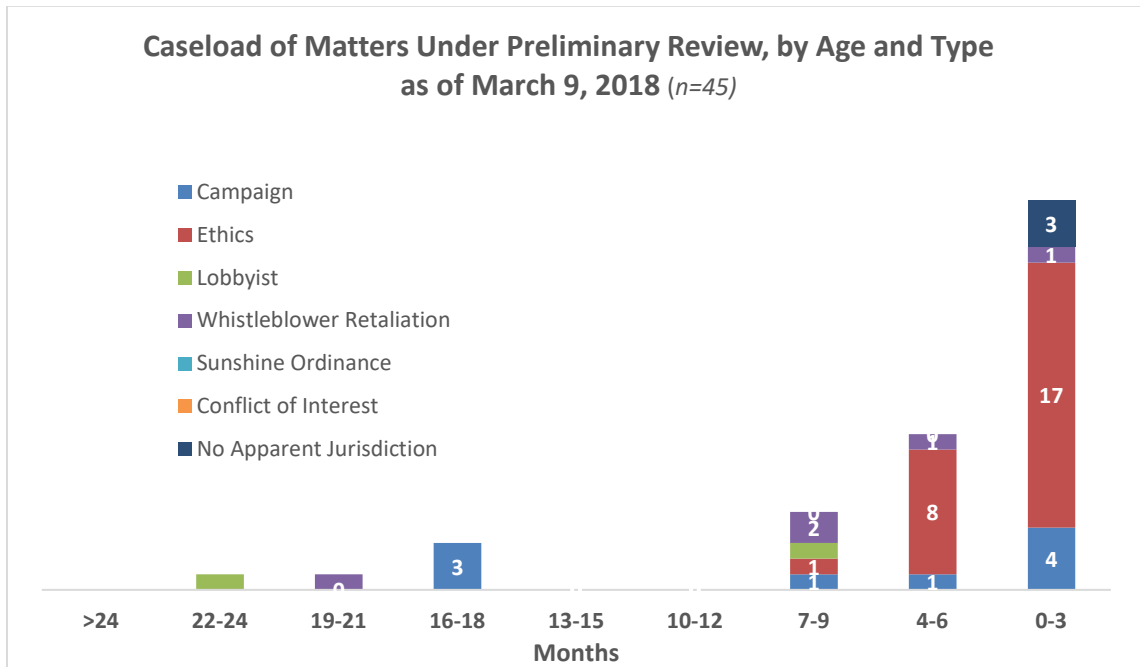
Name	FPPC No.	Total Owed	Payment Amount	Last Received	Outstanding Balance	Current: Yes/No
Kim Shree Maufas	1284567	\$2,575	\$50	01/15/18	\$50	Yes
Kim Shree Maufas	1328923	\$2,000	\$50	01/15/18	\$50	Yes

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

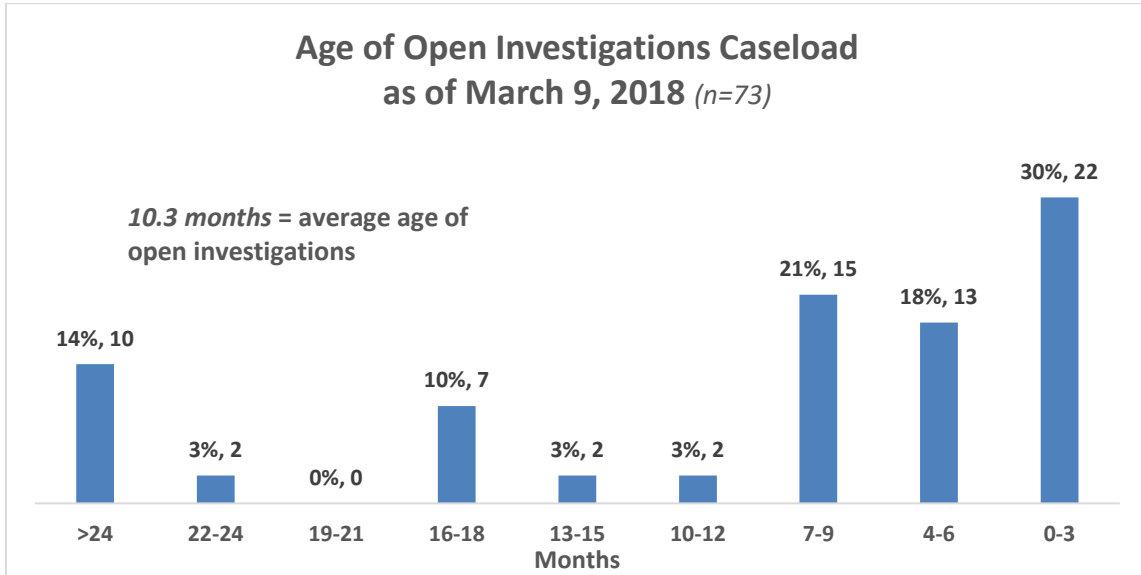
## Agenda Item 9, Attachment 1



Type	#	Avg. Age
Campaign	9	7.2
Ethics	26	2.5
Lobbyist	2	15.5
Whistleblower Retaliation	5	8.4
Sunshine Ordinance	0	0.0
No Apparent Jurisdiction	3	0.3



## Agenda Item 9, Attachment 2



Type	#	Avg. Age
Campaign	35	7.5
Ethics	26	12.6
Lobbyist	6	14.7
Whistleblower		
Retaliation	6	10.0
Sunshine	0	0.0
No Apparent Jurisdiction	0	0.0

