



ETHICS COMMISSION CITY AND COUNTY OF SAN FRANCISCO

DAINA CHIU
CHAIR

Date: February 11, 2019

QUENTIN L. KOPP
VICE-CHAIR

To: Members of the Ethics Commission

YVONNE LEE
COMMISSIONER

From: Jeff Pierce, Director of Enforcement & Legal Affairs

NOREEN AMBROSE
COMMISSIONER

Subject: **AGENDA ITEM 10: Enforcement Report for the February 15, 2019 Meeting**

FERN M. SMITH
COMMISSIONER

Summary: This report highlights programmatic information and operational updates related to the Enforcement & Legal Affairs division.

LEEANN PELHAM
EXECUTIVE DIRECTOR

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

Programmatic Highlights

The Commission now has 91 matters in preliminary review and 90 matters under investigation. The Enforcement Division received three new complaints since January 14, 2019. Also in the past month the Executive Director dismissed one complaint based on investigators' analysis and investigators opened three new investigations. The following tables compare the number and average age of the Commission's enforcement docket to the same figures that existed in the prior month and in this month of the prior year:

Number and Average Age of Matters in Preliminary Review

Month	Feb. 2018	Jan. 2019	Feb. 2019
Number	57	92	91
Avg. Age (mo.)	4.6	6.2	6.9

Number and Average Age of Matters in Open Investigation

Month	Feb. 2018	Jan. 2019	Feb. 2019
Number	65	88	90
Avg. Age (mo.)	10.4	15	15.2

Attachment 1 contains additional detail regarding the type and age of matters under preliminary review. Attachment 2 contains additional similar detail regarding open investigations.

Staff Training

Investment in ongoing learning among staff to support professional development and retention is a key organizational priority. Toward that end, the Enforcement Division continues to identify valuable ways to support and enhance the knowledge, skills, and abilities we bring to our work.

Staff of the Fair Political Practices Commission have agreed conduct a workshop for Staff of the Ethics Commission on the substantive law governing conflicts of interest and best practices for investigating allegations of a conflict of interest. We will welcome the FPPC staff in late March.

Additionally, investigators are lining up key trainings over the next several months that will further enhance the ability of the Enforcement Division to fulfill its mandate. The federal Council of the Inspectors General on Integrity and Efficiency offers trainings not only to federal Inspectors General personnel but also to state and local counterparts. Availability permitting, investigators will be participating in trainings on investigative writing and on methods and legal issues related to investigating public corruption.

Operational Updates/Investigative Caseload Data

Investigative matters under the jurisdiction of the Ethics Commission merit investigation after the Enforcement Director’s preliminary review finds there is reason to believe a violation of law may have occurred. Once the Enforcement Director has made that determination, the Enforcement division forwards the complaint to the City Attorney and District Attorney under San Francisco Charter section C3.699-13(a) and the complaint is converted into an open investigation. Table 1 summarizes the number of pending open investigations within the Ethics Commission’s jurisdiction that remained pending as of November 7, 2018 and as compared to the prior reporting period. As noted above, more detailed information about the Commission’s enforcement caseload is provided in Attachments 1 and 2.

Table 1 – Summary of Open Investigations by Type as of February 11, 2019:

Type	January 2019	February 2019
Campaign Finance	38	39
Governmental Ethics	34	34
Lobbyist Ordinance	6	7
Whistleblower Retaliation	9	9
Sunshine Ordinance	1	1
Total	88	90

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.

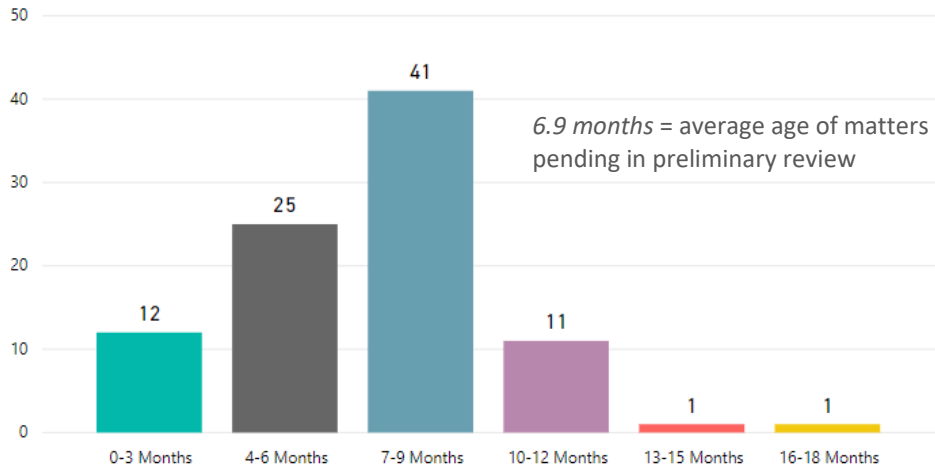
Committee/ Filer & ID #	Treasurer/ Responsible Officer	Referral Date	Last Action Date	Original Amount Referred	Current Balance	General Status	Status
Chris Jackson 1347066	Chris Jackson	7/12/13	1/31/19	\$ 6,601.00	\$ 5,100.99	Judgment	Mr. Jackson has vacated his place of residence. Skip Tracing to locate Mr. Jackson's place of residence, employment and additional assets. According to all available information he is unemployed. An Order of Examination Hearing has been rescheduled for 4/18/19 (to allow more time to serve the debtor), where the debtor is ordered to appear to disclose assets.
Chris Jackson 22-12119	Chris Jackson	9/26/16	1/31/19	\$ 6,100.00	\$ 6,100.00	Judgment	<i>See above.</i>
Committee to Elect Norman for Supervisor 14-131112	Jacqueline Norman	5/1/15	1/31/19	\$ 9,000.00	\$ 9,000.00	Judgment	Ms. Norman has vacated her family place of residence. According to all available information she is unemployed. Skip Tracing to

Committee/ Filer & ID #	Treasurer/ Responsible Officer	Referral Date	Last Action Date	Original Amount Referred	Current Balance	General Status	Status
							locate place of residence, place of employment, and additional assets. An Order of Examination Hearing has been rescheduled for 4/18/19 (to allow more time to serve the debtor), where the debtor is ordered to appear to disclose assets.
Isabel Urbano SFO-153993	Isabel Urbano	3/23/16	1/31/19	\$ 7,000.00	\$ 6,850.00	Legal Review	Collaborating with the Legal Department on the viability to file the Summons to Complaint, and the Proof of Service in NY,NY.
Lynette Sweet 1324331	Lynette Sweet	12/29/16	11/14/18	\$ 74,408.19	\$ 74,408.19	Bankruptcy	The debtor refiled under BK case 18-31033. The Bankruptcy unit filed a claim for the new BK case. Proof of claim filed 11/14/2018. Next hearing date 2/20/2019.
Total:							\$101,459.18

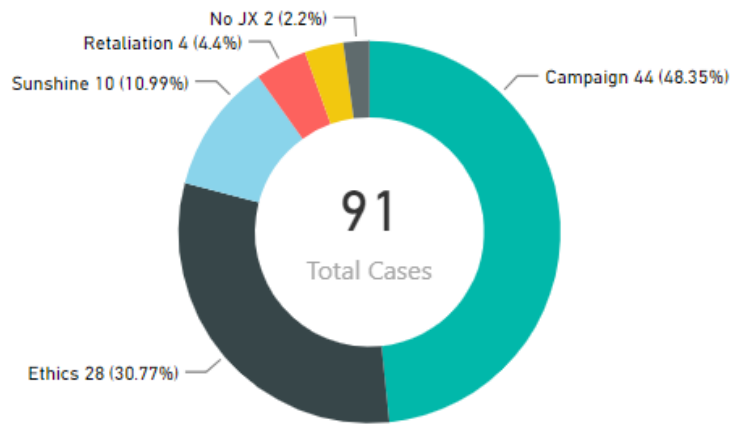
I look forward to answering any questions you might have at the upcoming Commission meeting.

Agenda Item 10, Attachment 1

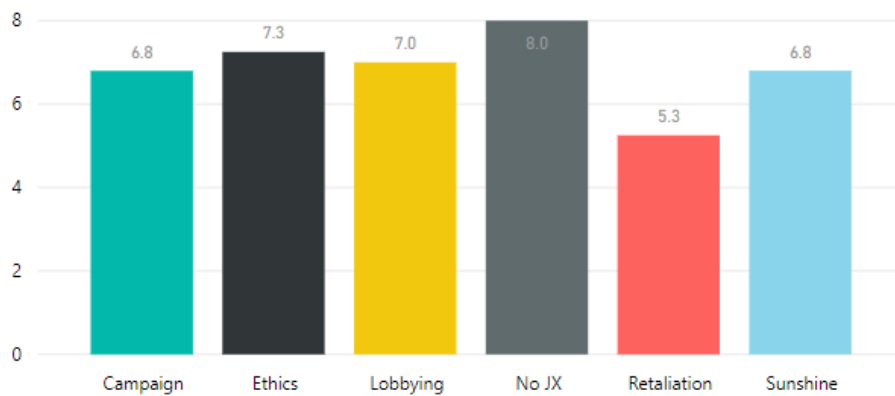
Age of Matters in Preliminary Review



Matters in Preliminary Review by Type

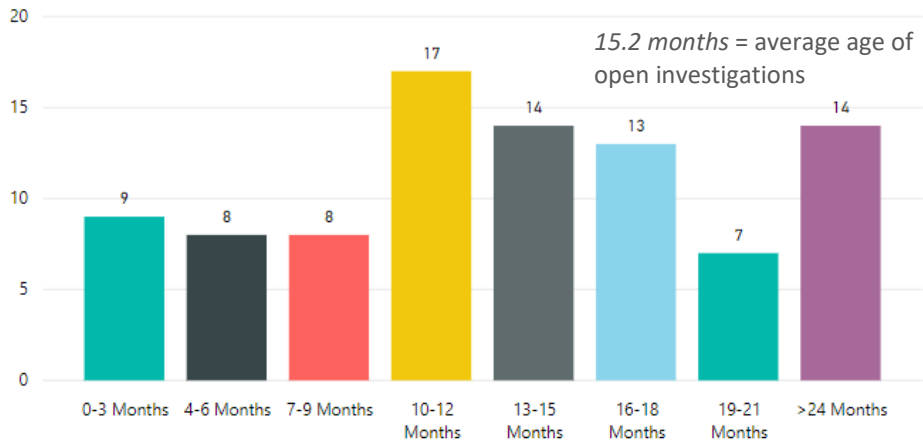


Average Age of Matters in Preliminary Review by Type

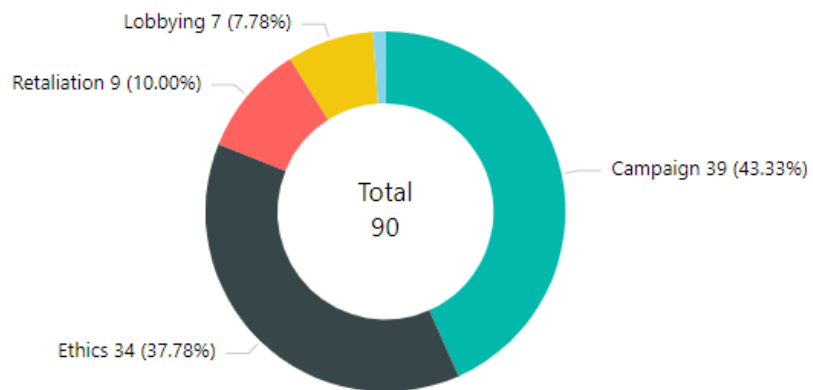


Agenda Item 10, Attachment 2

Age of Matters under Open Investigation



Open Investigations by Type



Average Age of Matters under Open Investigation by Type

