



San Francisco Ethics Commission

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Date: July 5, 2022

To: Members of the Ethics Commission

From: Michael Canning, Acting Senior Policy Analyst

Re: **AGENDA ITEM 7 – Presentation, discussion, and possible action on proposed Ethics Commission ordinance for November 2022 ballot and amended Ethics Commission regulations to strengthen gift and other City ethics laws.**

Summary

This item has been placed on the Ethics Commission's July 8 agenda to enable it to consider and possibly act on proposed amendments to strengthen the City's gift and ethics laws under consideration as a draft Ethics Commission ballot measure and Commission regulation amendments. This memo and attachments provide an update on the meet and confer process with City bargaining units that Staff have worked with the Department of Human Resources' Employee Relations Division to conclude, and details revised recommendations to the proposals that Staff have incorporated and recommend as a result of the meet and confer process and further engagement with other stakeholders.

Action Requested

To address demonstrated shortcomings in the City's ethics laws and help prevent future acts of corruption like those alleged in the ongoing federal corruption investigation, Staff recommends that the Commission move forward to strengthen the City's ethics law by adopting the proposed provisions in two steps:

- 1) discuss the draft ordinance presented in **Attachment 1** and vote at its July 8th meeting to take steps to place the ordinance directly before San Francisco voters as an Ethics Commission ballot measure for the November 8, 2022 election; and
- 2) discuss the proposed regulation amendments presented in **Attachment 2** and take action at its August 12, 2022 monthly meeting to adopt amended regulations pursuant to its authority under [Charter Sec. 15.102](#).

Background

In January 2020, the U.S. Department of Justice began bringing criminal corruption charges against multiple City officials, employees, and contractors. The charges allege numerous instances in which individuals seeking favorable outcomes from City government provided things of value to City officials in an attempt to influence the actions of those officials.

The gift and ethics proposals presented in this document result from a robust process of analysis and lengthy stakeholder engagement by the Commission on core public policy matters within its jurisdiction. These proposals have been designed to uphold fairness in City decision-making, ensure an effective framework of local ethics laws, and strengthen public trust in local government.

The Commission's [Government Ethics and Conflict of Interest Review project](#) undertook a comprehensive review of the City's ethics laws and practices in phases to identify current weaknesses in the law and ensure that the types of conduct alleged in the criminal complaints are appropriately prohibited and deterred by strengthened City laws going forward.

- The first phase of the project addressed the issue of [behested payments](#), which are payments made at the behest of a government official to a third party. That work [resulted in legislation enacted](#) in December 2021 that now bans the solicitation of behested payments by City officials and employees who are required to file the Form 700 Statement of Economic Interests from soliciting behested payments from those who have official business before their department or who have otherwise sought to influence them. A separate report on the implementation of these behested payments rules and information about recent legislative developments appears under Item 8 on the Commission's July 8th meeting Agenda.
- The second and third phases of the project resulted in policy reports and recommendations to strengthen City laws that govern [gifts made directly to City officials](#), [gifts made through City departments](#), and [other essential ethics provisions](#). The recommendations contained in the last three reports that stemmed from Phase II and III of the Commission's project are the basis for a proposed ballot measure (**Attachment 1**) and regulation amendments (**Attachment 2**). For additional reference, the Commission has produced a summary chart (**Attachment 3**) listing the proposed changes that details the sections of the San Francisco Campaign and Governmental Conduct Code that would be changed by the proposed ballot measure and what regulations would be amended.

These proposed changes would clarify and expand aspects of the City's restricted source rule, which limits gifts to City officials from those doing business with their department and those who have recently attempted to influence them. The changes would also strengthen the City's bribery rule and expand the number of City officials required to complete annual ethics training. An overview of the recommendations is provided in the section below entitled Summary of Proposed Ethics and Gift Provisions.

While this project was initiated in reaction to the ongoing federal corruption investigation, the recommendations produced by this project address larger issues facing the City. The proposed recommendations seek to promote a culture in City government that promotes fairness, responsiveness, and equity. More robust ethics rules, greater restrictions on gifts, and increased transparency regarding the sources of City funding are tools for ensuring City government works for everyone, not just a small minority that engage or appear to engage in 'pay to play' actions to secure favorable treatment by City officials. Together, the packages of reforms stemming from these three phases of the Commission's work have been designed to help ensure that in the City of San Francisco, the processes of governmental decision-making operate, and can be trusted by the public to consistently operate, in a manner that provides fair, just, and equitable treatment for all by City government.

On [June 10, Commission Chair Lee issued a statement reporting to the public on the status of the Commission's reforms](#). In that message, Chair Lee reflected on the overwhelming vote by San Franciscans to adopt Proposition E, a measure on the June 7 ballot that, in part, ensures the Ethics Commission will have a clear role in any future legislative amendments to the City's behested payments provisions. She noted that the public that feedback in public hearings on the Commission's gift proposals and the Prop. E vote "make clear the public's continuing expectations for reform." She concluded by citing the additional urgent work that remained ahead:

"We recognize that all San Franciscans have a critical stake in the health of City government and that the voters' continued engagement in this process is vital. We share the public's frustration that it has been 29 months since the first FBI investigation story has cast San Francisco in the national spotlight. We remain committed to using the full authority voters have vested in us as a Commission to place a measure directly on the ballot this year so that the voters' voices will continued[sic] to be heard."

Recap: Summary of Proposed Ethics and Gift Recommendations

The ways in which the Ethics Commission's package of gift and essential ethics provisions is designed to strengthen local ethics laws is summarized below.

Gift-Related Recommendations (Phase II)

- Create a definition of *gift* in the Campaign and Governmental Conduct Code.
 - Regulations would include certain state law gift exceptions but omit those that undermine the purposes of the restricted source rule.
 - Regulations containing local exceptions to the restricted source rule would be amended.
- Expand the application of the restricted source rule to prohibit other aspects of a gift transaction beyond the receipt or solicitation of the gift by an official, including:
 - City officials from soliciting or accepting gifts from restricted sources for any immediate family members of the official.
 - City officials from soliciting, coordinating, facilitating, or accepting gifts for other City officials.
 - The giving of gifts by lobbyists and permit consultants.
 - City officials from accepting anything from a City department or non-City organization or person that bestows a personal benefit on the official if the official knows or has reason to know that the true source of the gift is a restricted source.
 - Any person or organization from acting as an intermediary for a restricted source gift.
- Clarify how the restricted source rule applies to City contractors.
- Amend the restricted source rule to explicitly apply to individuals and entities that apply for or obtain a permit, license, or other entitlement for use from a City department.
- Amend the restricted source rule to explicitly apply the rule to affiliates (directors, officers, and major shareholders) of an entity that is a restricted source.
- Create a single, standardized disclosure requirement for payments to City departments.
- Amend regulations containing exceptions to the rule against gifts from subordinates.

Essential Ethics Provision Recommendations (Phase III)

- Strengthen San Francisco’s bribery rule by incorporating elements of the federal bribery rule.
- Extend the annual ethics training requirement to all Form 700 filers.
- Codify rules contained in departmental Statements of Incompatible Activities into the Code and discontinue departmental Statements of Incompatible Activities.
- Standardize penalty provisions to make it clear that all violations of the Code are punishable and that proving a particular mental state is not required.
- Protect ethics laws from legislative amendments by requiring approvals by a supermajority of the Ethics Commission and Board of Supervisors for legislative amendments.
- Add a general provision that allows the Commission to require electronic filing of public disclosures.

To facilitate review and discussion of the changes the ordinance proposes and make it easier for readers to identify the changes that would result, Staff produced a “condensed version” of the proposed ordinance to illustrate only the Code sections the measure would change substantively. This 37-page condensed version appears as **Attachment 4**. It excludes sections that are simply being reauthorized as they already appear in the Code.

The full 127-page version of the measure appears as **Attachment 1**. This document details all changes that would be made, and therefore shows all provisions as they will be changed, including text that is stricken and reauthorized to procedurally adopt the substantive changes proposed.

Recap: The Commission’s Deliberative Process

The proposals being considered by the Commission have gone through an extensive process of public engagement, review, and stakeholder input. This has included four interested persons meetings in 2021;¹ the publication of three substantial Commission reports that present the evidence and rationale for the recommendations;² engagement with City bargaining units;³ public discussions at nine Commission meetings since December 2021;⁴ and numerous one-on-one meetings between Staff and stakeholders.

State law requires that the City meet and confer with employee bargaining units prior to undertaking certain actions that would impact City employees. Since November, the Commission has been working with the Employee Relations Division of the City’s Department of Human Resources (DHR) to meet and confer with City bargaining units and satisfy the City’s obligation to meet and confer with bargaining units in good faith. Following seven months of engagement in the meet and confer process with the

¹ Interested persons meetings were held on [April 27, 2021 and April 29, 2021](#) and [November 16, 2021 and November 18, 2021](#).

² Reports were published on [gifts made directly to City officials](#), [gifts made through City departments](#), and [other essential ethics provisions](#).

³ Since November of 2021, Ethics Staff have met nine times with representatives from the Municipal Executives Association (MEA) and exchanged numerous written communications containing proposals and counterproposals from both MEA and the City.

⁴ This package of reforms was discussed at Commission meetings on: [December 10](#), [January 14](#), [January 21](#), [February 11](#), [February 25](#), [March 18](#), [April 8](#), [May 13](#), and [June 10](#).

Municipal Executives Association (MEA), on July 3 DHR sent out a 'close out' notice to MEA. Close out notices review issues addressed through the meet and confer process and note that in the absence of any further counter proposals within scope by the requested deadline, DHR will consider the meet and confer obligations to have been concluded. In this instance, DHR provided MEA with the date of July 7 by close of business.

Current Recommendations Before the Commission as Revised through Stakeholder Feedback

Throughout this policy project, Staff have sought to engage stakeholders and incorporate feedback from a variety of sources. This process has carried on concurrently with the meet and confer process, as stakeholders have continued to engage with Staff and directly with the Commission during its recent meetings.

As the Commission will recall, Staff presented a first round of revisions to the Commission in a [Staff memo dated February 7, 2022](#), which was discussed at the Commission's February 11 meeting. For reference, the changes made between December and February are summarized in **Attachment 5**.

Based on additional discussions during recent Commission meetings, feedback from stakeholders, and issues raised during the meet and confer process, Staff have further revised several of the proposals. These further revisions are recommended by Staff to clarify important aspects of the reforms and address concerns raised by stakeholders, while still providing an expansive set of necessary reforms that would strengthen and improve the City's ethics rules if adopted by San Francisco voters. The proposed changes made since the February versions are incorporated in the attached materials and are summarized below in Table 1 for reference.

Informed by stakeholder engagement and the meet and confer process, Staff has revised the proposed ordinance language it recommends be placed on the ballot. Changes made since February in the ordinance to be proposed as a ballot measure can be found below in **Table 1**.

Based on additional feedback received Staff also revised proposed regulation amendments. Changes made in regulation amendments can be found below in **Table 2**.

Table 1: Proposed Ballot Measure - Changes Made Since February 2022

Section Amended	Description of Change Made
3.1-102(c)(4) & 3.1-102.5(c)(3)(D)	<p>Clarifying liability for administrative penalties associated with violations of Section 3.1-102 and 3.1-102.5</p> <p>These two subsections have been revised so that instead of saying that any person who violates the section "shall be liable in an administrative proceeding" the language now states that any person who violates the section "shall be <u>subject to and may be held</u> liable in an administrative proceeding."</p>
3.203	<p>Revising how seeking, obtaining, or possessing a license, permit, or other entitlement for use can make a person a restricted source</p>

	<p>This subsection was revised so that only licenses, permits, and other entitlements for use that require high-level approval from the department or City leadership make a person a restricted source for all of the City officials of that department, other licenses, permits, or other entitlements for use would only make the person a restricted source for the City officials that were personally and substantially involved in the process of issuing, extending, amending, or otherwise approving the item.</p> <p>This was done by amending part (b) of the definition of “doing business with the department” so that it only covers licenses, permits, or other entitlements for use that are issued by the department, and are appealable to or approved by the department head, the department’s board or commission, or the Board of Supervisors and creating a new part (c) of the definition of “restricted source” that specifies that a person seeking, obtaining, or possessing a license, permit, or other entitlement for use is a restricted source for any City official who was personally and substantially involved in the approval of the item.</p> <p>This change was presented to the Commission in a Staff memo dated March 14, 2022 and was discussed at the Commission’s March 18 meeting. This proposal was developed in response to concerns that the Commission’s initial proposal was too broad and difficult to comply with as many employees within a department do not work on licenses, permits, or other entitlements for use and would be potentially unaware of such activities. The revised proposal addresses this concern, while still ensuring that persons seeking the most high-level licenses, permits, or other entitlements for use are restricted sources for the entire department, but otherwise only require City officials to be aware of the licenses, permits, and other entitlements for use that they were involved in personally and substantially.</p>
<p>3.216(b)(2), 3.216(b)(4), and 3.216(b)(5)</p>	<p>Removing liability for gift givers</p> <p>These subsections were changed to remove liability for restricted sources who give prohibited gifts to City officials. With this change, restricted sources that give, or attempt to give, a gift to a City official will not be liable for that action. It will be the responsibility of City officials to not accept gifts from restricted sources or third parties if the official knows or has reason to know that the gift was funded, provided, or directed by a restricted source. This change would prohibit a lobbyist or permit consultant from giving or offering to give a gift to any City official, or any official’s family members, if the lobbyist or permit consultant knows or has reason to know that they are a restricted source for the City official. Lobbyists and permit consultants would also be prohibited from making a payment to an intermediary, including any City department, if the lobbyist or permit consultant knows or has reason to know that the intermediary will use the payment to provide a gift to a City official and that they are a restricted source for that official.</p>

	<p>This change was presented to the Commission in a Staff memo dated March 14, 2022 and was discussed at the Commission’s March 18 meeting. Staff’s initial proposal had amended the restricted source rule so that it would prohibit the <i>giving</i> of gifts by restricted sources, thus exposing restricted sources who gave unauthorized gifts to penalties. Staff heard concerns that expanding liability to the givers of restricted source gifts would potentially ensnare members of the public who were unaware of the rule and that members of BIPOC communities could be disproportionately impacted by this change. To address this concern, the proposal has been revised so that there is no longer liability for restricted sources who give gifts, unless the giver is a lobbyist or permit consultant. Staff believes that liability for the giving of restricted sources gifts can be removed from the measure without undermining the other proposed reforms to the restricted source rule.</p>
3.218(a)(1)	<p>Including non-compensated, volunteer activity with 501(c)(5) nonprofit organizations among the activities in which City officials may engage, notwithstanding the prohibitions in Section 3.218</p> <p>This subsection was revised to allow City officials to engage in non-compensated, volunteer activity with 501(c)(5) nonprofit organizations which are labor, agricultural, or horticultural organizations. The subsection already contains language allowing City officials to engage in non-compensated, volunteer activity with 501(c)(3) nonprofit organizations.</p>
3.218(b)(2)(C)	<p>Specifying process and timeline for advance written determinations</p> <p>This subsection was added to specify the process and timeline for decision-maker responses to requests for advance written determinations.</p>
Section 9. Effective and Operative Dates	<p>Postponing the operative date of the ordinance</p> <p>In order to provide time or additional training and other compliance-related activity by City officials, the operative date of the ordinance has been revised so that it is six months after the effective date of the ordinance. During this six-month period, Staff will provide live/interactive trainings to City officials and produce additional training resources that cover the rule changes brought by the ballot measure and regulation amendments.</p>

Table 2: Proposed Regulation Amendments – Changes Made Since February 2022

Regulation Amended	Description of Change Made
3.216(b)-5(m)	<p>Revising the exception for attendance at nonprofit fundraisers</p> <p>This regulation was revised to offer greater clarity regarding when this exception can be used by providing examples of the types of purposes that are “necessary</p>

	<p>to carry out the official’s City duties” and by specifying that the tickets cannot be used for employee appreciation or as a reward for public service.</p> <p>An earlier version of this exception was presented to the Commission through a Staff memo dated February 7, 2022.</p>
3.216(b)-5(n)	<p>Revising the exception for attendance at arts and entertainment events</p> <p>This regulation was revised to offer greater clarity regarding when this exception can be used by providing examples of the types of purposes that are “necessary to carry out the official’s City duties” and by specifying that the tickets cannot be used for employee appreciation or as a reward for public service. This revision also allows employees of the City’s Charter-identified arts and culture departments to accept a single additional ticket to events when using this exception.</p> <p>An earlier version of this exception was presented to the Commission through a Staff memo dated February 7, 2022.</p>
3.216(b)-5(p)	<p>Adding an exception for personalized greeting cards</p> <p>This regulation was added to specify that accepting a personalized greeting card from a restricted source does not violate the restricted source rule.</p> <p>This change was presented to the Commission in a Staff memo dated March 14, 2022 and was discussed at the Commission’s March 18 meeting.</p>
3.216(b)-5(q)	<p>Adding an exception for payments provided at a free or discounted rate to members of the general of public</p> <p>This regulation was added to specify that accepting a payment from a restricted source that is provided at a free or discounted rate to members of the general public, without regard to the officer or employee’s status as a City official, does not violate the restricted source rule.</p> <p>This change was presented to the Commission in a Staff memo dated March 14, 2022 and was discussed at the Commission’s March 18 meeting.</p>
3.216(b)-5(r)	<p>Adding an exception for branded promotional items of nominal value from nonprofit organizations</p> <p>This regulation was added to permit nonprofit organizations to give City official branded promotional items of nominal value, even if the organization is a restricted source for the official.</p>

	This change was presented to the Commission in a Staff memo dated May 9, 2022 and was discussed at the Commission’s May 13 meeting.
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Next Steps

As noted above, Staff recommends the following Commission actions to help strengthen the effectiveness of the City’s ethics laws:

- 1) discuss the revised draft ordinance presented in **Attachment 1** and vote at its July 8th meeting to take steps to place the ordinance directly before San Francisco voters as an Ethics Commission ballot measure for the November 8, 2022 election; and
- 2) discuss the revised regulation amendments presented in **Attachment 2** and take action at its August 12, 2022 monthly meeting to adopt the amended regulations pursuant to its authority under [Charter Sec. 15.102](#). To ensure the Commission can act on regulations at that meeting, notice of action on the proposed regulations must be circulated no later than 10 days before the meeting to comply with the requirements of [Charter Sec. 4.104\(a\)\(1\)](#).

Attachment 1

1 [Initiative Ordinance - Campaign and Governmental Conduct Code - Gift Prohibitions and
2 Reporting, Bribery, Ethics Training, Incompatible Activities, and Amendment Process]

3 **Motion ordering submitted to the voters, at an election to be held on November 8, 2022,**
4 **an ordinance amending the Campaign and Governmental Conduct Code to 1) expand**
5 **gift prohibitions for City officers and employees; 2) expand rules prohibiting bribery; 3)**
6 **require ethics training for Form 700 filers; 4) impose gift prohibitions on members of**
7 **the public with respect to City officers and employees; 5) impose personal liability on**
8 **City officials for failure to disclose certain relationships; 6) create generally applicable**
9 **incompatible activity rules; and 7) require Ethics Commission and Board of**
10 **Supervisors super-majority approval for amendments to certain ethics-related**
11 **ordinances.**

12
13 MOVED, That pursuant to Charter Section 15.102, the Ethics Commission hereby
14 submits the following ordinance to the voters of the City and County of San Francisco, at an
15 election to be held on November 8, 2022.

16
17 **Ordinance amending the Campaign and Governmental Conduct Code to 1) expand gift**
18 **prohibitions for City officers and employees; 2) expand rules prohibiting bribery; 3)**
19 **require ethics training for Form 700 filers; 4) impose gift prohibitions on members of**
20 **the public with respect to City officers and employees; 5) impose personal liability on**
21 **City officials for failure to disclose certain relationships; 6) create generally applicable**
22 **incompatible activity rules; and 7) require Ethics Commission and Board of**
23 **Supervisors super-majority approval for amendments to certain ethics-related**
24 **ordinances.**

25 NOTE: **Unchanged Code text and uncodified text** are in plain Arial font.
Additions to Codes are in single-underline italics Times New Roman font.

1 **Deletions to Codes** are in ~~strikethrough italics Times New Roman font~~.
2 **Board amendment additions** are in double-underlined Arial font.
3 **Board amendment deletions** are in ~~strikethrough Arial font~~.
4 **Asterisks (* * * *)** indicate the omission of unchanged Code
5 subsections or parts of tables.

6 Be it ordained by the People of the City and County of San Francisco:

7 Section 1. Article I, Chapter 5 of the Campaign and Governmental Conduct Code is
8 hereby amended by adding Section 1.503, to read as follows:

9 **SEC. 1.503. AMENDMENT OR REPEAL OF THIS CHAPTER.**

10 The voters may amend or repeal this Chapter 5. The Board of Supervisors may amend this
11 Chapter 5 if all of the following conditions are met:

12 (a) The amendment furthers the purposes of this Chapter;

13 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
14 fifths vote of all its members;

15 (c) The proposed amendment is available for public review at least 30 days before the
16 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;

17 and

18 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
19 all its members.

20 Section 2. The voters hereby re-authorize and re-enact in its entirety Article II, Chapter
21 1 of the Campaign and Governmental Conduct Code, in the process revising Sections 2.103,
22 2.115, 2.135, and 2.145, to read as follows:

23 **SEC. 2.100. FINDINGS.**

24 (a) The Board of Supervisors finds that public disclosure of the identity and extent of efforts of
25 lobbyists to influence decision-making regarding local legislative and administrative matters is

1 ~~essential to protect public confidence in the responsiveness and representative nature of government~~
2 ~~officials and institutions. It is the purpose and intent of the Board of Supervisors to impose reasonable~~
3 ~~registration and disclosure requirements to reveal information about lobbyists' efforts to influence~~
4 ~~decision-making regarding local legislative and administrative matters.~~

5 ~~(b) To increase public confidence in the fairness and responsiveness of governmental decision~~
6 ~~making, it is the further purpose and intent of the people of the City and County of San Francisco to~~
7 ~~restrict gifts, campaign contributions, and bundled campaign contributions from lobbyists to City~~
8 ~~officers so that governmental decisions are not, and do not appear to be, influenced by the giving of~~
9 ~~personal benefits to City officers by lobbyists, or by lobbyists' financial support of City officers'~~
10 ~~political interests.~~

11 ~~(c) Corruption and the appearance of corruption in the form of campaign consultants~~
12 ~~exploiting their influence with City officials on behalf of private interests may erode public confidence~~
13 ~~in the fairness and impartiality of City governmental decisions. The City and County of San Francisco~~
14 ~~has a compelling interest in preventing corruption or the appearance of corruption which could result~~
15 ~~in such erosion of public confidence. Prohibitions on campaign consultants lobbying current and~~
16 ~~former clients will protect public confidence in the electoral and governmental processes. It is the~~
17 ~~purpose and intent of the people of the City and County of San Francisco in enacting this Chapter to~~
18 ~~prohibit campaign consultants from exploiting or appearing to exploit their influence with City officials~~
19 ~~on behalf of private interests.~~

20
21 **~~SEC. 2.103. AMENDMENT OR REPEAL.~~**

22 ~~With respect to any provisions of this Chapter regarding regulation of expenditure lobbyists,~~
23 ~~registration requirements, amendment of registration information and monthly disclosures, or~~
24 ~~restrictions on gifts, campaign contributions, or bundled campaign contributions from lobbyists,~~
25

1 ~~approved by the voters, the Board of Supervisors may amend those provisions if all of the following~~
2 ~~conditions are met:~~

3 ~~(a) The amendment furthers the purposes of this Chapter;~~

4 ~~(b) The Ethics Commission approves the proposed amendment in advance by at least a four-~~
5 ~~fifths vote of all its members;~~

6 ~~(c) The proposed amendment is available for public review at least 30 days before the~~
7 ~~amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;~~
8 ~~and~~

9 ~~(d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of~~
10 ~~all its members.~~

11
12 **~~SEC. 2.105. DEFINITIONS.~~**

13 ~~Whenever used in this Chapter 1, the following words and phrases shall be defined as provided~~
14 ~~in this Section 2.105:~~

15 ~~"Activity expenses" means any expense incurred or payment made by a lobbyist or a lobbyist's~~
16 ~~client at the behest of the lobbyist, or arranged by a lobbyist or a lobbyist's client at the behest of the~~
17 ~~lobbyist, which benefits in whole or in part any: officer of the City and County; candidate for City and~~
18 ~~County office; aide to a member of the Board of Supervisors; or member of the immediate family or the~~
19 ~~registered domestic partner of an officer, candidate, or aide to a member of the Board of Supervisors.~~

20 ~~An expense or payment is not an "activity expense" unless it is incurred or made within three months of~~
21 ~~a contact with the officer, candidate, or Supervisor's aide who benefits from the expense or payment, or~~
22 ~~whose immediate family member or registered domestic partner benefits from the expense or payment.~~

23 ~~"Activity expenses" include honoraria, consulting fees, salaries, and any other thing of value totaling~~
24 ~~more than \$25 in value in a consecutive three-month period, but do not include political contributions.~~

1 ~~"Agency" shall mean a unit of City government that submits its own budget to the Mayor and~~
2 ~~Board of Supervisors pursuant to Article IX of the City Charter.~~

3 ~~"Candidate" shall have the same meaning as set forth in Section 1.104 of this Code.~~

4 ~~"Client" means the person for whom lobbyist services are performed by a lobbyist.~~

5 ~~"Committee" shall be defined as set forth in the California Political Reform Act, California~~
6 ~~Government Code section 81000, et seq.~~

7 ~~"Contact lobbyist" means any individual who (1) makes five or more contacts in a calendar~~
8 ~~month with officers of the City and County on behalf of the individual's employer; or (2) makes one or~~
9 ~~more contacts in a calendar month with an officer of the City and County on behalf of any person who~~
10 ~~pays or who becomes obligated to pay the individual or the individual's employer for lobbyist services.~~
11 ~~An individual is not a contact lobbyist if that individual is lobbying on behalf of a business of which the~~
12 ~~individual owns a 20% or greater share.~~

13 ~~"Contribution" shall have the same meaning as set forth in the California Political Reform Act,~~
14 ~~California Government Code Section 81000, et seq.~~

15 ~~"Controlled committee" shall have the same meaning as set forth in Section 1.104 of this Code,~~
16 ~~but shall not include any state committees.~~

17 ~~"Dependent child" shall mean a child or stepchild of a public official, who is under 18 years~~
18 ~~old and whom the official is entitled to claim as a dependent on his or her federal tax return.~~

19 ~~"Economic consideration" means any payments, fees, reimbursement for expenses, gifts, or~~
20 ~~anything else of value, provided that "economic consideration" does not include salary, wages or~~
21 ~~benefits furnished by a federal, state or local government agency.~~

22 ~~"Employee" means any person who receives, reasonably expects to receive, or whose employer~~
23 ~~is obligated to provide, an Internal Revenue Service Form W-2 wage and tax statement.~~

24 ~~"Employer" means any person who provides an Internal Revenue Service Form W-2 wage and~~
25 ~~tax statement to an employee who performs lobbyist services on behalf of that person.~~

1 ~~"Expenditure lobbyist" means any person, other than any government entity, or officer or~~
2 ~~employee of a government entity acting in an official capacity, who, directly or indirectly, makes~~
3 ~~payments totaling \$2,500 or more in a calendar month to solicit, request, or urge other persons to~~
4 ~~communicate directly with an officer of the City and County in order to influence local legislative or~~
5 ~~administrative action. Examples of the types of activities the payment for which can count toward the~~
6 ~~\$2,500 threshold referred to in the previous sentence include but are not limited to public relations,~~
7 ~~media relations, advertising, public outreach, research, investigation, reports, analyses, and studies to~~
8 ~~the extent those activities are used to further efforts to solicit, request or urge other persons to~~
9 ~~communicate directly with an officer of the City and County. The following types of payments shall not~~
10 ~~be considered for the purpose of determining whether a person is an expenditure lobbyist: payments~~
11 ~~made to a registered contact lobbyist or the registered contact lobbyist's employer for lobbyist services;~~
12 ~~payments made to an organization for membership dues; payments made by an organization to~~
13 ~~distribute communications to its members; payments made by a news media organization to develop~~
14 ~~and distribute its publications; and payments made by a client to a representative to appear in an~~
15 ~~adjudicatory proceeding before a City agency or department.~~

16 ~~"Gift" shall be defined as set forth in the Political Reform Act, Government Code Section 81000~~
17 ~~et seq., and the regulations adopted thereunder.~~

18 ~~"Gift of travel" shall mean payment, advance, or reimbursement for travel, including~~
19 ~~transportation, lodging, and food and refreshment connected with the travel.~~

20 ~~"Lobbyist" means a contact lobbyist or expenditure lobbyist.~~

21 ~~"Lobbyist services" means services rendered for the purpose of influencing local legislative or~~
22 ~~administrative action, including but not limited to contacts with officers of the City and County of San~~
23 ~~Francisco.~~

24 ~~"Local legislative or administrative action" includes, but is not limited to, the drafting,~~
25 ~~introduction, consideration, modification, enactment, defeat, approval, veto, granting or denial by any~~

1 ~~officer of the City and County of any resolution, motion, appeal, application, petition, nomination,~~
2 ~~ordinance, amendment, approval, referral, permit, license, entitlement to use or contract.~~

3 ~~"Measure" shall have the same meaning as set forth in Section 1.104 of this Code.~~

4 ~~"Officer of the City and County" means any officer identified in Section 3.203 of this Code, as~~
5 ~~well as any official body composed of such officers. In addition, for purposes of this Chapter, "officer of~~
6 ~~the City and County" includes (1) members of the Board of Education, Community College Board, First~~
7 ~~Five Commission, Law Library Board of Trustees, Local Agency Formation Commission, Health~~
8 ~~Authority Board, Housing Authority Commission, Parking Authority, Relocation Appeals Board,~~
9 ~~Successor Agency to the former Redevelopment Agency of the City and County of San Francisco,~~
10 ~~Oversight Board of the Successor Agency, Successor Agency Commission, Transportation Authority,~~
11 ~~Workforce Investment San Francisco Board as well as any official body composed of such officers, and~~
12 ~~any person appointed as the chief executive officer under any such board or commission; (2) the~~
13 ~~Zoning Administrator, (3) the City Engineer, (4) the County Surveyor, and (5) the Bureau Chief of the~~
14 ~~Department of Public Works' Bureau of Street Use and Mapping.~~

15 ~~"Person" means an individual, partnership, corporation, association, firm, labor union or other~~
16 ~~organization or entity, however organized.~~

17 ~~"Public event" shall mean an event or gathering that any member of the public may attend, has~~
18 ~~been publicly announced and publicized in advance, and for which there is no admission cost or fee.~~

19 ~~"Public hearing" means any open, noticed proceeding.~~

20 ~~"State committee" shall mean a committee formed to support or oppose candidates for state~~
21 ~~office or state ballot measures.~~

22
23 **~~SEC. 2.106. LOBBYING CONTACTS.~~**

1 ~~(a) Whenever used in this Chapter 1, "contact" means any communication, oral or written,~~
2 ~~including communication made through an agent, associate or employee, for the purpose of influencing~~
3 ~~local legislative or administrative action, except as provided in Subsections (b) and (c).~~

4 ~~(b) The following activities are not "contacts" within the meaning of this Chapter 1.~~

5 ~~(1) A representative of a news media organization gathering news and information or~~
6 ~~disseminating the same to the public, even if the organization, in the ordinary course of business,~~
7 ~~publishes news items, editorials or other commentary, or paid advertisements, that urge action upon~~
8 ~~local legislative or administrative matters;~~

9 ~~(2) A person providing oral or written testimony that becomes part of the record of a~~
10 ~~public hearing; provided, however, that if the person making the appearance or providing testimony~~
11 ~~has already qualified as a contact lobbyist under this Chapter and is appearing or testifying on behalf~~
12 ~~of a client, the contact lobbyist's testimony shall identify the client on whose behalf the contact lobbyist~~
13 ~~is appearing or testifying;~~

14 ~~(3) A person performing a duty or service that can be performed only by an architect or~~
15 ~~a professional engineer licensed to practice in the State of California;~~

16 ~~(4) A person making a speech or producing any publication or other material that is~~
17 ~~distributed and made available to the public, through radio, television, cable television, or other~~
18 ~~medium of mass communication;~~

19 ~~(5) A person providing written information in response to an oral or written request~~
20 ~~made by an officer of the City and County, provided that the written information is a public record~~
21 ~~available for public review;~~

22 ~~(6) A person providing oral or written information pursuant to a subpoena, or~~
23 ~~otherwise compelled by law or regulation;~~

24 ~~(7) A person submitting a written petition for local legislative or administrative action,~~
25 ~~provided that the petition is a public record available for public review;~~

1 ~~(8) A person making an oral or written request for a meeting, or any other similar~~
2 ~~administrative request, if the request does not include an attempt to influence local legislative or~~
3 ~~administrative action;~~

4 ~~(9) A person appearing before an officer of the City and County pursuant to any~~
5 ~~procedure established by law or regulation for levying an assessment against real property for the~~
6 ~~construction or maintenance of an improvement;~~

7 ~~(10) A person providing purely technical data, analysis, or expertise in the presence of~~
8 ~~a contact lobbyist;~~

9 ~~(11) A person distributing to any officer of the City and County any regularly published~~
10 ~~newsletter or other periodical which is not primarily directed at influencing local legislative or~~
11 ~~administrative action;~~

12 ~~(12) A person disseminating information or material on behalf of an organization or~~
13 ~~entity to all or a significant segment of the organization's or entity's employees or members;~~

14 ~~(13) A person appearing as a party or a representative of a party in an administrative~~
15 ~~adjudicatory proceeding before a City agency or department;~~

16 ~~(14) A person communicating, on behalf of a labor union representing City employees,~~
17 ~~regarding the establishment, amendment, or interpretation of a collective bargaining agreement or~~
18 ~~memorandum of understanding with the City, or communicating about a management decision~~
19 ~~regarding the working conditions of employees represented by a collective bargaining agreement or a~~
20 ~~memorandum of understanding with the City;~~

21 ~~(15) A party or prospective party to a contract providing oral or written information in~~
22 ~~response to a request for proposals, request for qualifications, or other similar request, provided that~~
23 ~~the information is directed to the department or official specifically designated in the request to receive~~
24 ~~such information; negotiating the terms of the contract with the City after being selected to enter into~~
25

1 ~~the contract; or communicating in connection with the administration of an existing contract between~~
2 ~~the party and the City. For the purposes of this subsection (b)(15):~~

3 ~~(A) A "party or prospective party" includes that party's officers or employees; a~~
4 ~~subcontractor listed in the contract, bid, or proposal; or that subcontractor's officers or employees. A~~
5 ~~"party or prospective party" does not include any other agent or associate, including any outside~~
6 ~~consultant or independent contractor.~~

7 ~~(B) Communication "in connection with the administration of an existing~~
8 ~~contract" includes, but is not limited to, communication regarding: insurance and bonding; contract~~
9 ~~performance and/or default; requests for in-scope change orders; legislative mandates imposed on~~
10 ~~contractors by the City and County; payments and invoicing; personnel changes; prevailing wage~~
11 ~~verification; liquidated damages and other penalties for breach of contract; audits; assignments; and~~
12 ~~subcontracting. Communication "in connection with the administration of an existing contract" does~~
13 ~~not include communication regarding new contracts, or out-of-scope change orders.~~

14 ~~(16) An officer or employee of a nonprofit organization or an organization fiscally~~
15 ~~sponsored by such a nonprofit organization communicating on behalf of their organization. For~~
16 ~~purposes of this subsection only, "nonprofit organization" means either an organization with tax~~
17 ~~exempt status under 26 United States Code Section 501(c)(3), or an organization with tax exempt status~~
18 ~~under 26 United States Code Section 501(c)(4) whose most recent federal tax filing included an IRS~~
19 ~~Form 990-N or an IRS Form 990-EZ, or an organization whose next federal tax filing is reasonably~~
20 ~~likely to include an IRS Form 990-N or an IRS Form 990-EZ.~~

21 ~~(c) The following activities are not "contacts" for the purpose of determining whether a person~~
22 ~~qualifies as a contact lobbyist, but are "contacts" for purpose of disclosures required by this Chapter 1:~~

23 ~~(1) A person providing oral information to an officer of the City and County in response~~
24 ~~to an oral or written request made by that officer;~~

25 ~~(2) A person making an oral or written request for the status of an action; and~~

1 ~~(3) A person participating in a public interested persons meeting, workshop, or other~~
2 ~~forum convened by a City agency or department for the purpose of soliciting public input.~~

3
4 **~~SEC. 2.107. NO CONFLICT WITH STATE BAR ACT.~~**

5 ~~Nothing in this Chapter is intended to regulate attorneys engaged in the practice of law under~~
6 ~~the California State Bar Act, Business and Professions Code sections 6000 et seq.~~

7
8 **~~SEC. 2.110. REGISTRATION AND DISCLOSURES; FEES; TERMINATION OF~~**
9 **~~REGISTRATION.~~**

10 ~~(a) **REGISTRATION OF LOBBYISTS REQUIRED.** Lobbyists shall register with the Ethics~~
11 ~~Commission and comply with the disclosure requirements imposed by this Chapter 1. Such registration~~
12 ~~shall occur no later than five business days of qualifying as a lobbyist. Contact lobbyists shall register~~
13 ~~prior to making any additional contacts with an officer of the City and County of San Francisco and~~
14 ~~expenditure lobbyists shall register prior to making any additional payments to influence local~~
15 ~~legislative or administrative action.~~

16 ~~(b) **REGISTRATION.**~~

17 ~~(1) **Contact lobbyists.** At the time of initial registration each contact lobbyist shall~~
18 ~~report to the Ethics Commission the following information:~~

19 ~~(A) The name, business address, e-mail address, and business telephone number~~
20 ~~of the lobbyist;~~

21 ~~(B) The name, business address, and business telephone number of each client~~
22 ~~for whom the lobbyist is performing lobbyist services;~~

23 ~~(C) The name, business address, and business telephone number of the~~
24 ~~lobbyist's employer, firm or business affiliation;~~

1 ~~(D) Each agency that the contact lobbyist has attempted, will attempt, or may~~
2 ~~attempt to influence on behalf of any client; and~~

3 ~~(E) Any other information required by the Ethics Commission through~~
4 ~~regulation, consistent with the purposes and provisions of this Chapter.~~

5 ~~(2) **Expenditure lobbyists.** At the time of initial registration each expenditure lobbyist~~
6 ~~shall report to the Ethics Commission the following information:~~

7 ~~(A) The name, mailing address, e-mail address, and telephone number of the~~
8 ~~lobbyist;~~

9 ~~(B) Expenditure lobbyists that are entities shall provide:~~

10 ~~(i) a description of their nature and purpose(s);~~

11 ~~(ii) if the expenditure lobbyist is a corporation, the names of the~~
12 ~~corporation's chief executive officer, chief financial officer, and secretary, any officer who authorized~~
13 ~~payments to influence local legislative and administrative action, and any person who owns more than~~
14 ~~20 percent of the corporation;~~

15 ~~(iii) if the expenditure lobbyist is a partnership, the name of each partner~~
16 ~~if the entity has fewer than 10, or the name of the partner with the greatest ownership interest if the~~
17 ~~entity has 10 or more partners;~~

18 ~~(iv) for any other type of business entity, the name of each person with~~
19 ~~an ownership interest if the entity has fewer than 10 owners, or the name of the person with the greatest~~
20 ~~ownership interest in the entity, if the entity has 10 or more owners;~~

21 ~~(C) Expenditure lobbyists that are individuals shall provide a description of~~
22 ~~their business activities;~~

23 ~~(D) Each agency that the expenditure lobbyist has made, will make, or may~~
24 ~~make payments to influence; and~~

1 ~~(E) Any other information required by the Ethics Commission through~~
2 ~~regulation, consistent with the purposes and provisions of this Chapter.~~

3 ~~(c) **LOBBYIST DISCLOSURES.** For each calendar month, each lobbyist shall submit the~~
4 ~~following information no later than the fifteenth calendar day following the end of the month:~~

5 ~~(1) **Contact lobbyists.** Each contact lobbyist shall report to the Ethics Commission the~~
6 ~~following information:~~

7 ~~(A) The name, business address and business telephone number of each person~~
8 ~~from whom the lobbyist or the lobbyist's employer received or expected to receive economic~~
9 ~~consideration to influence local legislative or administrative action during the reporting period.~~

10 ~~(B) The name of each officer of the City and County of San Francisco with~~
11 ~~whom the lobbyist made a contact during the reporting period.~~

12 ~~(C) The date on which each contact was made.~~

13 ~~(D) The local legislative or administrative action that the lobbyist sought to~~
14 ~~influence, including, if any, the title and file number of any resolution, motion, appeal, application,~~
15 ~~petition, nomination, ordinance, amendment, approval, referral, permit, license, entitlement, or~~
16 ~~contract, and the outcome sought by the client.~~

17 ~~(E) The client on whose behalf each contact was made.~~

18 ~~(F) The amount of economic consideration received or expected by the lobbyist~~
19 ~~or the lobbyist's employer from each client during the reporting period.~~

20 ~~(G) All activity expenses incurred by the lobbyist during the reporting period,~~
21 ~~including the following information:~~

22 ~~(i) The date and amount of each activity expense;~~

23 ~~(ii) The full name and official position, if any, of the beneficiary of each~~
24 ~~activity expense, a description of the benefit, and the amount of the benefit;~~

1 ~~(iii) The full name of the payee of each activity expense if other than the~~
2 ~~beneficiary;~~

3 ~~(iv) Whenever a lobbyist is required to report a salary of an individual~~
4 ~~pursuant to this subsection (c)(1), the lobbyist need only disclose whether the total salary payments~~
5 ~~made to the individual during the reporting period was less than or equal to \$250, greater than \$250~~
6 ~~but less than or equal to \$1,000, greater than \$1,000 but less than or equal to \$10,000, or greater than~~
7 ~~\$10,000.~~

8 ~~(H) All campaign contributions of \$100 or more made or delivered by the~~
9 ~~lobbyist or the lobbyist's employer, or made by a client at the behest of the lobbyist or the lobbyist's~~
10 ~~employer during the reporting period to an officer of the City and County, a candidate for such office, a~~
11 ~~committee controlled by such officer or candidate, or a committee primarily formed to support or~~
12 ~~oppose such officer or candidate, or any committee primarily formed to support or oppose a measure to~~
13 ~~be voted on only in San Francisco. This report shall include such campaign contributions arranged by~~
14 ~~the lobbyist, or for which the lobbyist acted as an agent or intermediary.~~

15 ~~The following information regarding each campaign contribution shall be~~
16 ~~submitted to the Ethics Commission:~~

17 ~~(i) The amount of the contribution;~~

18 ~~(ii) The name of the contributor;~~

19 ~~(iii) The date on which the contribution was made;~~

20 ~~(iv) The contributor's occupation;~~

21 ~~(v) The contributor's employer, or if self-employed, the name of the~~
22 ~~contributor's business; and~~

23 ~~(vi) The committee to which the contribution was made.~~

1 ~~(I) For each contact at which a person providing purely technical data, analysis,~~
2 ~~or expertise was present, as described in Section 2.106(b)(10), the name, address, employer and area~~
3 ~~of expertise of the person providing the data, analysis or expertise.~~

4 ~~(J) Any other information required by the Ethics Commission through regulation~~
5 ~~consistent with the purposes and provisions of this Chapter.~~

6 ~~(2) **Expenditure lobbyists.** Each expenditure lobbyist shall report to the Ethics~~
7 ~~Commission the following information:~~

8 ~~(A) The local legislative or administrative action that the lobbyist sought to~~
9 ~~influence, including, if any, the title and file number of any resolution, motion, appeal, application,~~
10 ~~petition, nomination, ordinance, amendment, approval, referral, permit, license, entitlement, or~~
11 ~~contract.~~

12 ~~(B) The total amount of payments made during the reporting period to influence~~
13 ~~local legislative or administrative action.~~

14 ~~(C) Each payment of \$1,000 or more made during the reporting period,~~
15 ~~including the date of payment, the name and address of each person receiving the payment, a~~
16 ~~description of the payment, and a description of the consideration for which the payment was made.~~

17 ~~(D) All campaign contributions of \$100 or more made or delivered by the~~
18 ~~lobbyist or made at the behest of the lobbyist during the reporting period to an officer of the City and~~
19 ~~County, a candidate for such office, a committee controlled by such officer or candidate, or a~~
20 ~~committee primarily formed to support or oppose such officer or candidate, or any committee primarily~~
21 ~~formed to support or oppose a measure to be voted on only in San Francisco. This report shall include~~
22 ~~such campaign contributions arranged by the lobbyist, or for which the lobbyist acted as an agent or~~
23 ~~intermediary.~~

24 ~~The following information regarding each campaign contribution shall be~~
25 ~~submitted to the Ethics Commission:~~

1 ~~(i) The amount of the contribution;~~
2 ~~(ii) The name of the contributor;~~
3 ~~(iii) The date on which the contribution was made;~~
4 ~~(iv) The contributor's occupation;~~
5 ~~(v) The contributor's employer, or if self-employed, the name of the~~
6 ~~contributor's business; and~~
7 ~~(vi) The committee to which the contribution was made.~~

8 ~~(E) Any other information required by the Ethics Commission through~~
9 ~~regulation, consistent with the purposes and provisions of this Chapter 1.~~

10 ~~(d) **DUTY TO UPDATE INFORMATION.** Lobbyists shall amend any information submitted~~
11 ~~to the Ethics Commission through registration and monthly disclosures within five days of the changed~~
12 ~~circumstances that require correction or updating of such information.~~

13 ~~(e) **REGISTRATION AND FILING OF DISCLOSURES BY ORGANIZATIONS.** The~~
14 ~~Ethics Commission is authorized to establish procedures to permit the registration and filing of contact~~
15 ~~lobbyist disclosures by a business, firm, or organization on behalf of the individual contact lobbyists~~
16 ~~employed by those businesses, firms, or organizations.~~

17 ~~(f) **FEES; TERMINATION OF REGISTRATION.**~~

18 ~~(1) At the time of registration each lobbyist shall pay a fee of \$500. On or before every~~
19 ~~subsequent February 1, each registered lobbyist shall pay an additional fee of \$500.~~

20 ~~(2) Failure to pay the annual fee by February 1 shall constitute a termination of a~~
21 ~~lobbyist's registration with the Ethics Commission. The Ethics Commission is also authorized to~~
22 ~~establish additional processes for the termination of a lobbyist's registration.~~

23 ~~(3) The Ethics Commission shall waive all registration fees for any full-time employee~~
24 ~~of a tax-exempt organization presenting proof of the organization's tax-exempt status under 26 U.S.C.~~
25 ~~Section 501(c)(3) or 501(c)(4).~~

1 ~~(4) The Ethics Commission shall deposit all fees collected pursuant to this Section in the~~
2 ~~General Fund of the City and County of San Francisco.~~

3
4 **~~SEC. 2.115. LIMITS AND PROHIBITIONS.~~**

5 ~~(a) GIFT PROHIBITION.~~

6 ~~(1) No lobbyist shall make any gift, including any gift of travel, to an officer of the City~~
7 ~~and County, or to a parent, spouse, domestic partner registered under state law, or dependent child of~~
8 ~~an officer of the City and County. No lobbyist shall make any payment to a third party for the purpose~~
9 ~~of paying for a gift or any part of a gift, including any gift of travel, to an officer of the City and~~
10 ~~County, or to a parent, spouse, domestic partner registered under state law, or dependent child of an~~
11 ~~officer of the City and County.~~

12 ~~(2) No officer of the City and County may accept or solicit any gift, including any gift of~~
13 ~~travel, from any lobbyist for the officer's personal benefit or for the personal benefit of the officer's~~
14 ~~parent, spouse, domestic partner registered under state law, or dependent child. No officer of the City~~
15 ~~and County may accept or solicit any gift, including any gift of travel, from a third party if the officer~~
16 ~~knows or has reason to know that the third party is providing the gift or gift of travel on behalf of a~~
17 ~~lobbyist.~~

18 ~~(3) Exception for gifts of food or refreshment provided by 501(c)(3) nonprofit~~
19 ~~organizations. Notwithstanding the prohibitions set forth in subsections (1) and (2), lobbyists may~~
20 ~~offer gifts of food or refreshment worth \$25 or less per occasion, and officers of the City and County~~
21 ~~may accept such gifts, if the lobbyist is a 501(c)(3) nonprofit organization, the gift of food or~~
22 ~~refreshment is offered in connection with a public event held by the 501(c)(3) nonprofit organization,~~
23 ~~and the same gift of food or refreshment is made available to all attendees of the public event.~~

1 ~~(4) **Aggregation of gifts.** For purposes of the gift limits imposed by subsections (1)–(3),~~
2 ~~gifts shall be aggregated set forth in California Code of Regulations, Title 2, Section 18945.1, as it may~~
3 ~~hereafter be amended.~~

4 ~~(b) **FUTURE EMPLOYMENT.** No lobbyist shall cause or influence the introduction or~~
5 ~~initiation of any local legislative or administrative action for the purpose of thereafter being employed~~
6 ~~or retained to secure its granting, denial, confirmation, rejection, passage, or defeat.~~

7 ~~(c) **FICTITIOUS PERSONS.** No contact lobbyist shall contact any officer of the City and~~
8 ~~County in the name of any fictitious person or in the name of any real person, except with the consent~~
9 ~~of such real person.~~

10 ~~(d) **EVASION OF OBLIGATIONS.** No lobbyist shall attempt to evade the obligations~~
11 ~~imposed by this Chapter through indirect efforts or through the use of agents, associates, or employees.~~

12 ~~(e) **CAMPAIGN CONTRIBUTIONS – PROHIBITIONS.**~~

13 ~~(1) No lobbyist shall make any contribution to a City elective officer or candidate for~~
14 ~~City elective office, including the City elective officer's or candidate's controlled committees, if that~~
15 ~~lobbyist (A) is registered to lobby the agency of the City elective officer or the agency for which the~~
16 ~~candidate is seeking election or (B) has been registered to lobby that agency in the previous 90 days.~~

17 ~~(2) If a lobbyist has failed to disclose which agencies the lobbyist attempts to influence,~~
18 ~~as required by Section 2.110(b), the lobbyist may not make a contribution to any City elective officer or~~
19 ~~candidate for City elective office, or any City elective officer's or candidate's controlled committees.~~

20 ~~(f) **BUNDLING OF CAMPAIGN CONTRIBUTIONS – PROHIBITIONS.**~~

21 ~~(1) No lobbyist shall deliver or transmit, or deliver or transmit through a third party,~~
22 ~~any contribution made by another person to any City elective officer or candidate for City elective~~
23 ~~office, or any City elective officer's or candidate's controlled committees, if that lobbyist (A) is~~
24 ~~registered to lobby the agency for which the candidate is seeking election or the agency of the City~~
25 ~~elective officer or (B) has been registered to lobby that agency in the previous 90 days.~~

1 ~~(2) If a lobbyist has failed to disclose which agencies the lobbyist attempts to influence,~~
2 ~~as required by Section 2.110(b), the lobbyist may not deliver or transmit, or deliver or transmit through~~
3 ~~a third party, any contribution made by another person to any City elective officer or candidate for City~~
4 ~~elective office, or any City elective officer's or candidate's controlled committees.~~

5 ~~(g) **AGGREGATION OF AFFILIATED ENTITY CONTRIBUTIONS.** For purposes of the~~
6 ~~contribution limits imposed by subsections (e) and (f), the contributions of an entity whose~~
7 ~~contributions are directed and controlled by any lobbyist shall be aggregated with contributions made~~
8 ~~by that lobbyist as set forth in Section 1.114(e).~~

9 ~~(h) **REGULATIONS.** The Ethics Commission may adopt regulations implementing this~~
10 ~~Section 2.115, but such regulations may not establish any exceptions from the limits and prohibitions~~
11 ~~set forth therein.~~

12 13 **~~SEC. 2.116. LOBBYIST TRAINING.~~**

14 ~~(a) Each contact lobbyist must complete a lobbyist training session offered by the Ethics~~
15 ~~Commission within one year of the lobbyist's initial registration. Thereafter, contact lobbyists shall~~
16 ~~attend additional training sessions as required by the Executive Director, at his or her discretion.~~

17 ~~(b) The Ethics Commission shall make lobbyist training sessions available on its website.~~

18 ~~(c) On or before the deadline for completing any required lobbyist training session, each~~
19 ~~contact lobbyist must file a signed declaration with the Ethics Commission stating, under penalty of~~
20 ~~perjury, that the lobbyist has completed the required training session.~~

21 22 **~~SEC. 2.117. LOBBYING BY CAMPAIGN CONSULTANTS.~~**

23 ~~(a) **PROHIBITION.** No campaign consultant, individual who has an ownership interest in the~~
24 ~~campaign consultant, or an employee of the campaign consultant shall communicate with any officer of~~
25 ~~the City and County who is a current or former client of the campaign consultant on behalf of another~~

1 ~~person or entity (other than the City and County) in exchange for economic consideration for the~~
2 ~~purpose of influencing local legislative or administrative action.~~

3 ~~(b) **EXCEPTIONS.**~~

4 ~~(1) This prohibition shall not apply to:~~

5 ~~(A) an employee of a campaign consultant whose sole duties are clerical; or~~

6 ~~(B) an employee of a campaign consultant who did not personally provide~~
7 ~~campaign consulting services to the officer of the City and County with whom the employee seeks to~~
8 ~~communicate in order to influence local legislative or administrative action.~~

9 ~~(2) The exceptions in Subsection (b)(1) shall not apply to any person who communicates~~
10 ~~with an officer of the City and County in his or her capacity as an employee of the campaign consultant~~
11 ~~who is prohibited by Subsection (a) from making the communication.~~

12 ~~(c) **DEFINITIONS.** Whenever the following words or phrases are used in this Section, they~~
13 ~~shall mean:~~

14 ~~(1) "Campaign consultant" shall have the same meaning as in Article I, Chapter 5,~~
15 ~~Section 1.505 of this Code.~~

16 ~~(2) "Campaign consulting services" shall have the same meaning as in Article I,~~
17 ~~Chapter 5, Section 1.505 of this Code.~~

18 ~~(3) "Current client" shall mean a person for whom the campaign consultant has filed a~~
19 ~~client authorization statement pursuant to Article I, Chapter 5, Section 1.515(d) of this Code and not~~
20 ~~filed a client termination statement pursuant to Article I, Chapter 5, Section 1.515(f) of this Code. If~~
21 ~~such person is a committee as defined by Section 82013 of the California Government Code, the~~
22 ~~current client shall be any individual who controls such committee; any candidate that such committee~~
23 ~~was primarily formed to support; and any proponent or opponent of a ballot measure that the~~
24 ~~committee is primarily formed to support or oppose.~~

1 ~~(4) "Employee" shall mean an individual employed by a campaign consultant, but does~~
2 ~~not include any individual who has an ownership interest in the campaign consultant that employs~~
3 ~~them.~~

4 ~~(5) "Former client" shall mean a person for whom the campaign consultant has filed a~~
5 ~~client termination statement pursuant to Article I, Chapter 5, Section 1.515(f) of this Code within the 60~~
6 ~~months prior to communicating with the person.~~

7
8 ~~**SEC. 2.120. EMPLOYMENT OF CITY AND COUNTY OFFICERS OR EMPLOYEES;**~~
9 ~~**APPOINTMENT OF EMPLOYEE TO CITY AND COUNTY OFFICE.**~~

10 ~~(a) **EMPLOYMENT OF CITY AND COUNTY OFFICERS OR EMPLOYEES.** If any~~
11 ~~lobbyist employs or requests, recommends or causes a client of the lobbyist to employ, and such client~~
12 ~~does employ, any officer of the City and County, any immediate family member or registered domestic~~
13 ~~partner of an officer of the City and County, or any person known by such lobbyist to be a full-time~~
14 ~~employee of the City and County, in any capacity whatsoever, the lobbyist shall file within 10 days after~~
15 ~~such employment a statement with the Ethics Commission setting out the name of the employee, the~~
16 ~~date first employed, the nature of the employment duties, and the salary or rate of pay of the employee.~~

17 ~~(b) **APPOINTMENT OF EMPLOYEE TO CITY OFFICE.** If an employee of a lobbyist is~~
18 ~~appointed to City or County office, the lobbyist shall file within 10 days after such appointment a~~
19 ~~statement with the Ethics Commission setting out the name of the employee, the date first employed, the~~
20 ~~nature of the employment duties, and the salary or rate of pay of the employee.~~

21 ~~(c) **REPORT OF SALARY.** Whenever a filer is required to report the salary of an employee~~
22 ~~who is also an officer or employee of the City and County pursuant to this Section, the filer need only~~
23 ~~disclose whether the total salary payments made to the employee are less than or equal to \$250,~~
24 ~~greater than \$250 but less than or equal to \$1,000, greater than \$1,000 but less than or equal to~~
25 ~~\$10,000, or greater than \$10,000.~~

1
2 ***SEC. 2.130. EMPLOYMENT OF UNREGISTERED PERSONS.***

3 *It shall be unlawful knowingly to pay any contact lobbyist to contact any officer of the City and*
4 *County of San Francisco, if said contact lobbyist is required to register under this Chapter and has not*
5 *done so by the deadlines imposed in this Chapter.*
6

7 ***SEC. 2.135. FILING UNDER PENALTY OF PERJURY; RETENTION OF DOCUMENTS;***
8 ***AUDITS.***

9 *(a) All information required under this Chapter shall be submitted to the Ethics Commission, in*
10 *the format designated by the Commission. The lobbyist shall verify, under penalty of perjury, the*
11 *accuracy and completeness of the information provided under this Chapter.*

12 *(b) The lobbyist shall retain for a period of five years all books, papers and documents*
13 *necessary to substantiate the registration and disclosure reports required by this Chapter. These*
14 *records shall include, but not be limited to, copies of all fundraising solicitations sent by the lobbyist or*
15 *his or her agent for an officer of the City and County, a candidate for such office, a committee*
16 *controlled by such officer or candidate, or a committee primarily formed to support or oppose such*
17 *officer or candidate, or any committee primarily formed to support or oppose a ballot measure to be*
18 *voted on only in San Francisco.*

19 *(c) On an annual basis, the Executive Director shall initiate audits of one or more lobbyists*
20 *selected at random. At the request of the Executive Director, the Controller may assist in conducting*
21 *these audits. This requirement shall not restrict the authority of the Executive Director or the Ethics*
22 *Commission to undertake any other audits or investigations of a lobbyist authorized by law or*
23 *regulation. Within ten business days of a request by the Ethics Commission, a lobbyist or anyone*
24 *required to register as a lobbyist shall provide the Ethics Commission with any documents required to*
25 *be retained under this Section.*

1
2 **~~SEC. 2.136. FALSE INFORMATION; DUTY TO COOPERATE AND ASSIST.~~**

3 ~~(a) **PROHIBITION.** No person shall knowingly and intentionally furnish false or fraudulent~~
4 ~~evidence, documents, or information to the Ethics Commission, District Attorney or City Attorney, or~~
5 ~~knowingly and intentionally misrepresent any material fact, or conceal any evidence, documents, or~~
6 ~~information relevant to an investigation by the Ethics Commission, District Attorney or City Attorney of~~
7 ~~an alleged violation of this Chapter.~~

8 ~~(b) **DUTY TO COOPERATE AND ASSIST.** The Ethics Commission, District Attorney or City~~
9 ~~Attorney may request and shall receive from every City officer and employee cooperation and~~
10 ~~assistance with an investigation into an alleged violation of this Chapter.~~

11
12 **~~SEC. 2.140. POWERS AND DUTIES OF THE ETHICS COMMISSION.~~**

13 ~~(a) The Ethics Commission shall prescribe the format for the submission of all information~~
14 ~~required by this Chapter.~~

15 ~~(b) Upon request by the Board of Supervisors or the Mayor, the Ethics Commission shall~~
16 ~~compile the information submitted pursuant to this Chapter and forward a report of the compiled~~
17 ~~information to the Board of Supervisors and the Mayor within thirty days of receipt of the request.~~

18 ~~(c) Upon request by the Board of Supervisors or the Mayor, the Ethics Commission shall file a~~
19 ~~report with the Board of Supervisors and the Mayor on the implementation of this Chapter within thirty~~
20 ~~days of receipt of the request.~~

21 ~~(d) The Ethics Commission shall preserve all original reports, statements, and other records~~
22 ~~required to be kept or filed under this Chapter for a period of five years. Such reports, statements, and~~
23 ~~records shall constitute a part of the public records of the Ethics Commission and shall be open to~~
24 ~~public inspection.~~

1 ~~(e) The Ethics Commission shall provide formal and informal advice regarding the duties~~
2 ~~under this Chapter of a person or entity pursuant to the procedures specified in San Francisco Charter~~
3 ~~Section C3.699-12.~~

4 ~~(f) The Ethics Commission shall have the power to adopt all reasonable and necessary rules~~
5 ~~and regulations for the implementation of this Chapter pursuant to Charter Section 15.102.~~

6 ~~(g) The Ethics Commission shall conduct quarterly workshops concerning the laws relating to~~
7 ~~lobbying.~~

8
9 **~~SEC. 2.145. ADMINISTRATIVE AND CIVIL ENFORCEMENT AND PENALTIES.~~**

10 ~~(a) If any lobbyist fails to submit any information required by this Chapter after any applicable~~
11 ~~deadline, the Ethics Commission shall, in addition to any other penalties or remedies established in this~~
12 ~~Chapter, impose a late filing fee of \$50 per day after the deadline until the information is received by~~
13 ~~the Ethics Commission. The Executive Director of the Ethics Commission may reduce or waive a late~~
14 ~~filing fee if the Executive Director determines that the late filing was not willful and that enforcement~~
15 ~~will not further the purposes of this Chapter. If such reduction or waiver equals or exceeds \$500, the~~
16 ~~Executive Director shall notify the Commission of his or her determination. Thereafter, any two or~~
17 ~~more members of the Commission may cause the reduction or waiver to be calendared for~~
18 ~~consideration by the full Commission in open session at the next Commission meeting occurring no~~
19 ~~sooner than ten days from the date the Executive Director informs the Commission of the Executive~~
20 ~~Director's recommendation. A Commissioner's request that a reduction or waiver be calendared must~~
21 ~~be received by the Executive Director no fewer than five days prior to the date of the meeting, so that~~
22 ~~the Executive Director may comply with the applicable notice and agenda requirements. The Ethics~~
23 ~~Commission shall deposit funds collected under this Section in the General Fund of the City and~~
24 ~~County of San Francisco.~~

1 ~~(b) Any person who knowingly or negligently violates this Chapter, including but not limited to,~~
2 ~~by providing inaccurate or incomplete information regarding lobbying activities, may be liable in an~~
3 ~~administrative proceeding before the Ethics Commission pursuant to Charter Section C3.699-13. In~~
4 ~~addition to the administrative penalties set forth in the Charter, the Ethics Commission may issue~~
5 ~~warning letters regarding potential violations of this Chapter both to the lobbyist and the person who~~
6 ~~pays or employs the lobbyist.~~

7 ~~(c) Any person or entity which knowingly or negligently violates this Chapter may be liable in a~~
8 ~~civil action brought by the City Attorney for an amount up to \$5,000 per violation, or three times the~~
9 ~~amount not properly reported, or three times the amount given or received in excess of the gift limit,~~
10 ~~whichever is greater.~~

11 ~~(d) In investigating any alleged violation of this Chapter the Ethics Commission and City~~
12 ~~Attorney shall have the power to inspect all documents required to be maintained under this Chapter.~~
13 ~~This power to inspect documents is in addition to other powers conferred on the Ethics Commission~~
14 ~~and City Attorney by the Charter or by ordinance, including the power of subpoena.~~

15 ~~(e) **JOINT AND SEVERAL LIABILITY.**~~

16 ~~(1) Should two or more persons be responsible for any violation under this Chapter,~~
17 ~~they may be jointly and severally liable.~~

18 ~~(2) The client or employer of a lobbyist shall be jointly and severally liable for all~~
19 ~~violations of this Chapter committed by the lobbyist in connection with acts or omissions undertaken on~~
20 ~~behalf of that client or employer.~~

21 ~~(3) If a business, firm or organization registers or files lobbyist disclosures on behalf of~~
22 ~~its employees pursuant to Section 2.110(d), the business, firm or organization may be held jointly and~~
23 ~~severally liable for any failure to disclose its employees' lobbying activities.~~

24 ~~(f) The City Attorney may also bring an action to revoke for up to one year the registration of~~
25 ~~any lobbyist who has knowingly violated this Chapter.~~

1
2 **~~SEC. 2.150. LIMITATION OF ACTIONS.~~**

3 ~~(a) No civil action shall be brought to enforce this Chapter unless brought within four years~~
4 ~~after the date the cause of action accrued or the date that the facts constituting the cause of action were~~
5 ~~discovered by the City Attorney. For the purpose of this Subsection, a civil action is brought when the~~
6 ~~City Attorney files the action in a court of law.~~

7 ~~(b) No administrative action alleging a violation of this Chapter and brought under Charter~~
8 ~~Section C3.699-13 shall be brought more than four years after the date of events which form the basis~~
9 ~~of the complaint, or the date that the events constituting the basis of the complaint were discovered by~~
10 ~~the Ethics Commission. For the purpose of this Subsection, a complaint is brought by the Executive~~
11 ~~Director of the Ethics Commission upon the date of service of the probable cause report.~~

12 ~~(c) A civil action brought to enforce or collect penalties or late filing fees imposed under this~~
13 ~~Chapter shall be brought within four years after the date on which the penalty or late filing fee was~~
14 ~~imposed. For purposes of this Subsection, a penalty or late filing fee is imposed when the Ethics~~
15 ~~Commission has issued a final decision in an enforcement action imposing a penalty for a violation of~~
16 ~~this Chapter or the Ethics Commission or Executive Director has made a final determination regarding~~
17 ~~the amount of a late filing fee imposed under this Chapter. The Ethics Commission or Executive~~
18 ~~Director does not make a final determination regarding the amount of a late filing fee imposed under~~
19 ~~this Chapter until the Ethics Commission or Executive Director has made a determination to accept or~~
20 ~~refuse any request to waive a late filing fee where such waiver has been timely requested and is~~
21 ~~expressly authorized by statute, ordinance, or regulation. For the purpose of this Subsection, a civil~~
22 ~~action is brought when the City Attorney files the action in a court of law.~~

23
24 **~~SEC. 2.155. SEVERABILITY.~~**
25

1 ~~If any Section, Subsection, subdivision, sentence, clause, phrase or portion of this Chapter, or~~
2 ~~the application thereof to any person, is for any reason held to be invalid or unconstitutional by the~~
3 ~~decision of any court of competent jurisdiction, such decision shall not affect the validity of the~~
4 ~~remaining portions of this Chapter or its application to other persons. The Board of Supervisors~~
5 ~~hereby declares that it would have adopted this Chapter, and each Section, Subsection, subdivision,~~
6 ~~sentence, clause, phrase or portion thereof, irrespective of the fact that any one or more Sections,~~
7 ~~Subsections, subdivisions, sentences, clauses, phrases, or portions, or the application thereof to any~~
8 ~~person, to be declared invalid or unconstitutional.~~

9
10 **SEC. 2.100. FINDINGS.**

11 (a) The voters find that public disclosure of the identity and extent of efforts of lobbyists to
12 influence decision-making regarding local legislative and administrative matters is essential to protect
13 public confidence in the responsiveness and representative nature of government officials and
14 institutions. It is the purpose and intent of this Chapter 1 to impose reasonable registration and
15 disclosure requirements to reveal information about lobbyists' efforts to influence decision-making
16 regarding local legislative and administrative matters.

17 (b) To increase public confidence in the fairness and responsiveness of governmental decision
18 making, it is the further purpose and intent of the people of the City and County of San Francisco to
19 restrict gifts, campaign contributions, and bundled campaign contributions from lobbyists to City
20 officers so that governmental decisions are not, and do not appear to be, influenced by the giving of
21 personal benefits to City officers by lobbyists, or by lobbyists' financial support of City officers'
22 political interests.

23 (c) Corruption and the appearance of corruption in the form of campaign consultants
24 exploiting their influence with City officials on behalf of private interests may erode public confidence
25 in the fairness and impartiality of City governmental decisions. The City and County of San Francisco

1 has a compelling interest in preventing corruption or the appearance of corruption which could result
2 in such erosion of public confidence. Prohibitions on campaign consultants lobbying current and
3 former clients will protect public confidence in the electoral and governmental processes. It is the
4 purpose and intent of the people of the City and County of San Francisco in enacting this Chapter to
5 prohibit campaign consultants from exploiting or appearing to exploit their influence with City officials
6 on behalf of private interests.

7
8 **SEC. 2.103. AMENDMENT OR REPEAL OF CHAPTER..**

9 The voters may amend or repeal this Chapter. The Board of Supervisors may amend this
10 Chapter if all of the following conditions are met:

- 11 (a) The amendment furthers the purposes of this Chapter;
12 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
13 fifths vote of all its members;
14 (c) The proposed amendment is available for public review at least 30 days before the
15 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;
16 and
17 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
18 all its members.

19
20 **SEC. 2.105. DEFINITIONS.**

21 Whenever used in this Chapter 1, the following words and phrases shall be defined as provided
22 in this Section 2.105:

23 "Activity expenses" means any expense incurred or payment made by a lobbyist or a lobbyist's
24 client at the behest of the lobbyist, or arranged by a lobbyist or a lobbyist's client at the behest of the
25 lobbyist, which benefits in whole or in part any: officer of the City and County; candidate for City and

1 County office; aide to a member of the Board of Supervisors; or member of the immediate family or the
2 registered domestic partner of an officer, candidate, or aide to a member of the Board of Supervisors.
3 An expense or payment is not an "activity expense" unless it is incurred or made within three months of
4 a contact with the officer, candidate, or Supervisor's aide who benefits from the expense or payment, or
5 whose immediate family member or registered domestic partner benefits from the expense or payment.
6 "Activity expenses" include honoraria, consulting fees, salaries, and any other thing of value totaling
7 more than \$25 in value in a consecutive three-month period, but do not include political contributions.

8 "Agency" shall mean a unit of City government that submits its own budget to the Mayor and
9 Board of Supervisors pursuant to Article IX of the City Charter.

10 "Candidate" shall have the same meaning as set forth in Section 1.104 of this Code.

11 "Client" means the person for whom lobbyist services are performed by a lobbyist.

12 "Committee" shall be defined as set forth in the California Political Reform Act, California
13 Government Code section 81000, et seq.

14 "Contact lobbyist" means any individual who (1) makes five or more contacts in a calendar
15 month with officers of the City and County on behalf of the individual's employer; or (2) makes one or
16 more contacts in a calendar month with an officer of the City and County on behalf of any person who
17 pays or who becomes obligated to pay the individual or the individual's employer for lobbyist services.
18 An individual is not a contact lobbyist if that individual is lobbying on behalf of a business of which the
19 individual owns a 20% or greater share.

20 "Contribution" shall have the same meaning as set forth in the California Political Reform Act,
21 California Government Code Section 81000, et seq.

22 "Controlled committee" shall have the same meaning as set forth in Section 1.104 of this Code,
23 but shall not include any state committees.

24 "Dependent child" shall mean a child or stepchild of a public official, who is under 18 years
25 old and whom the official is entitled to claim as a dependent on his or her federal tax return.

1 "Economic consideration" means any payments, fees, reimbursement for expenses, gifts, or
2 anything else of value, provided that "economic consideration" does not include salary, wages or
3 benefits furnished by a federal, state or local government agency.

4 "Employee" means any person who receives, reasonably expects to receive, or whose employer
5 is obligated to provide, an Internal Revenue Service Form W-2 wage and tax statement.

6 "Employer" means any person who provides an Internal Revenue Service Form W-2 wage and
7 tax statement to an employee who performs lobbyist services on behalf of that person.

8 "Expenditure lobbyist" means any person, other than any government entity, or officer or
9 employee of a government entity acting in an official capacity, who, directly or indirectly, makes
10 payments totaling \$2,500 or more in a calendar month to solicit, request, or urge other persons to
11 communicate directly with an officer of the City and County in order to influence local legislative or
12 administrative action. Examples of the types of activities the payment for which can count toward the
13 \$2,500 threshold referred to in the previous sentence include but are not limited to public relations,
14 media relations, advertising, public outreach, research, investigation, reports, analyses, and studies to
15 the extent those activities are used to further efforts to solicit, request or urge other persons to
16 communicate directly with an officer of the City and County. The following types of payments shall not
17 be considered for the purpose of determining whether a person is an expenditure lobbyist: payments
18 made to a registered contact lobbyist or the registered contact lobbyist's employer for lobbyist services;
19 payments made to an organization for membership dues; payments made by an organization to
20 distribute communications to its members; payments made by a news media organization to develop
21 and distribute its publications; and payments made by a client to a representative to appear in an
22 adjudicatory proceeding before a City agency or department.

23 "Gift" shall be defined as set forth in the Political Reform Act, Government Code Section 81000
24 et seq., and the regulations adopted thereunder.

1 "Gift of travel" shall mean payment, advance, or reimbursement for travel, including
2 transportation, lodging, and food and refreshment connected with the travel.

3 "Lobbyist" means a contact lobbyist or expenditure lobbyist.

4 "Lobbyist services" means services rendered for the purpose of influencing local legislative or
5 administrative action, including but not limited to contacts with officers of the City and County of San
6 Francisco.

7 "Local legislative or administrative action" includes, but is not limited to, the drafting,
8 introduction, consideration, modification, enactment, defeat, approval, veto, granting or denial by any
9 officer of the City and County of any resolution, motion, appeal, application, petition, nomination,
10 ordinance, amendment, approval, referral, permit, license, entitlement to use or contract.

11 "Measure" shall have the same meaning as set forth in Section 1.104 of this Code.

12 "Officer of the City and County" means any officer identified in Section 3.203 of this Code, as
13 well as any official body composed of such officers. In addition, for purposes of this Chapter, "officer of
14 the City and County" includes (1) members of the Board of Education, Community College Board, First
15 Five Commission, Law Library Board of Trustees, Local Agency Formation Commission, Health
16 Authority Board, Housing Authority Commission, Parking Authority, Relocation Appeals Board,
17 Successor Agency to the former Redevelopment Agency of the City and County of San Francisco,
18 Oversight Board of the Successor Agency, Successor Agency Commission, Transportation Authority,
19 Workforce Investment San Francisco Board as well as any official body composed of such officers, and
20 any person appointed as the chief executive officer under any such board or commission; (2) the
21 Zoning Administrator, (3) the City Engineer, (4) the County Surveyor, and (5) the Bureau Chief of the
22 Department of Public Works' Bureau of Street Use and Mapping.

23 "Person" means an individual, partnership, corporation, association, firm, labor union or other
24 organization or entity, however organized.

1 "Public event" shall mean an event or gathering that any member of the public may attend, has
2 been publicly announced and publicized in advance, and for which there is no admission cost or fee.

3 "Public hearing" means any open, noticed proceeding.

4 "State committee" shall mean a committee formed to support or oppose candidates for state
5 office or state ballot measures.

6
7 **SEC. 2.106. LOBBYING CONTACTS.**

8 (a) Whenever used in this Chapter 1, "contact" means any communication, oral or written,
9 including communication made through an agent, associate or employee, for the purpose of influencing
10 local legislative or administrative action, except as provided in Subsections (b) and (c).

11 (b) The following activities are not "contacts" within the meaning of this Chapter 1.

12 (1) A representative of a news media organization gathering news and information or
13 disseminating the same to the public, even if the organization, in the ordinary course of business,
14 publishes news items, editorials or other commentary, or paid advertisements, that urge action upon
15 local legislative or administrative matters;

16 (2) A person providing oral or written testimony that becomes part of the record of a
17 public hearing; provided, however, that if the person making the appearance or providing testimony
18 has already qualified as a contact lobbyist under this Chapter and is appearing or testifying on behalf
19 of a client, the contact lobbyist's testimony shall identify the client on whose behalf the contact lobbyist
20 is appearing or testifying;

21 (3) A person performing a duty or service that can be performed only by an architect or
22 a professional engineer licensed to practice in the State of California;

23 (4) A person making a speech or producing any publication or other material that is
24 distributed and made available to the public, through radio, television, cable television, or other
25 medium of mass communication;

1 (5) A person providing written information in response to an oral or written request
2 made by an officer of the City and County, provided that the written information is a public record
3 available for public review;

4 (6) A person providing oral or written information pursuant to a subpoena, or
5 otherwise compelled by law or regulation;

6 (7) A person submitting a written petition for local legislative or administrative action,
7 provided that the petition is a public record available for public review;

8 (8) A person making an oral or written request for a meeting, or any other similar
9 administrative request, if the request does not include an attempt to influence local legislative or
10 administrative action;

11 (9) A person appearing before an officer of the City and County pursuant to any
12 procedure established by law or regulation for levying an assessment against real property for the
13 construction or maintenance of an improvement;

14 (10) A person providing purely technical data, analysis, or expertise in the presence of
15 a contact lobbyist;

16 (11) A person distributing to any officer of the City and County any regularly published
17 newsletter or other periodical which is not primarily directed at influencing local legislative or
18 administrative action;

19 (12) A person disseminating information or material on behalf of an organization or
20 entity to all or a significant segment of the organization's or entity's employees or members;

21 (13) A person appearing as a party or a representative of a party in an administrative
22 adjudicatory proceeding before a City agency or department;

23 (14) A person communicating, on behalf of a labor union representing City employees,
24 regarding the establishment, amendment, or interpretation of a collective bargaining agreement or
25 memorandum of understanding with the City, or communicating about a management decision

1 regarding the working conditions of employees represented by a collective bargaining agreement or a
2 memorandum of understanding with the City;

3 (15) A party or prospective party to a contract providing oral or written information in
4 response to a request for proposals, request for qualifications, or other similar request, provided that
5 the information is directed to the department or official specifically designated in the request to receive
6 such information; negotiating the terms of the contract with the City after being selected to enter into
7 the contract; or communicating in connection with the administration of an existing contract between
8 the party and the City. For the purposes of this subsection (b)(15):

9 (A) A "party or prospective party" includes that party's officers or employees; a
10 subcontractor listed in the contract, bid, or proposal; or that subcontractor's officers or employees. A
11 "party or prospective party" does not include any other agent or associate, including any outside
12 consultant or independent contractor.

13 (B) Communication "in connection with the administration of an existing
14 contract" includes, but is not limited to, communication regarding: insurance and bonding; contract
15 performance and/or default; requests for in-scope change orders; legislative mandates imposed on
16 contractors by the City and County; payments and invoicing; personnel changes; prevailing wage
17 verification; liquidated damages and other penalties for breach of contract; audits; assignments; and
18 subcontracting. Communication "in connection with the administration of an existing contract" does
19 not include communication regarding new contracts, or out-of-scope change orders.

20 (16) An officer or employee of a nonprofit organization or an organization fiscally
21 sponsored by such a nonprofit organization communicating on behalf of their organization. For
22 purposes of this subsection only, "nonprofit organization" means either an organization with tax
23 exempt status under 26 United States Code Section 501(c)(3), or an organization with tax exempt status
24 under 26 United States Code Section 501(c)(4) whose most recent federal tax filing included an IRS
25

1 Form 990-N or an IRS Form 990-EZ, or an organization whose next federal tax filing is reasonably
2 likely to include an IRS Form 990-N or an IRS Form 990-EZ.

3 (c) The following activities are not "contacts" for the purpose of determining whether a person
4 qualifies as a contact lobbyist, but are "contacts" for purpose of disclosures required by this Chapter 1:

5 (1) A person providing oral information to an officer of the City and County in response
6 to an oral or written request made by that officer;

7 (2) A person making an oral or written request for the status of an action; and

8 (3) A person participating in a public interested persons meeting, workshop, or other
9 forum convened by a City agency or department for the purpose of soliciting public input.

10
11 **SEC. 2.107. NO CONFLICT WITH STATE BAR ACT.**

12 Nothing in this Chapter is intended to regulate attorneys engaged in the practice of law under
13 the California State Bar Act, Business and Professions Code sections 6000 et seq.

14
15 **SEC. 2.110. REGISTRATION AND DISCLOSURES; FEES; TERMINATION OF**
16 **REGISTRATION.**

17 (a) **REGISTRATION OF LOBBYISTS REQUIRED.** Lobbyists shall register with the Ethics
18 Commission and comply with the disclosure requirements imposed by this Chapter 1. Such registration
19 shall occur no later than five business days of qualifying as a lobbyist. Contact lobbyists shall register
20 prior to making any additional contacts with an officer of the City and County of San Francisco and
21 expenditure lobbyists shall register prior to making any additional payments to influence local
22 legislative or administrative action.

23 (b) **REGISTRATION.**

24 (1) **Contact lobbyists.** At the time of initial registration each contact lobbyist shall
25 report to the Ethics Commission the following information:

1 (A) The name, business address, e-mail address, and business telephone number
2 of the lobbyist;

3 (B) The name, business address, and business telephone number of each client
4 for whom the lobbyist is performing lobbyist services;

5 (C) The name, business address, and business telephone number of the
6 lobbyist's employer, firm or business affiliation;

7 (D) Each agency that the contact lobbyist has attempted, will attempt, or may
8 attempt to influence on behalf of any client; and

9 (E) Any other information required by the Ethics Commission through
10 regulation, consistent with the purposes and provisions of this Chapter.

11 (2) **Expenditure lobbyists.** At the time of initial registration each expenditure lobbyist
12 shall report to the Ethics Commission the following information:

13 (A) The name, mailing address, e-mail address, and telephone number of the
14 lobbyist;

15 (B) Expenditure lobbyists that are entities shall provide:

16 (i) a description of their nature and purpose(s);

17 (ii) if the expenditure lobbyist is a corporation, the names of the
18 corporation's chief executive officer, chief financial officer, and secretary, any officer who authorized
19 payments to influence local legislative and administrative action, and any person who owns more than
20 20 percent of the corporation;

21 (iii) if the expenditure lobbyist is a partnership, the name of each partner
22 if the entity has fewer than 10, or the name of the partner with the greatest ownership interest if the
23 entity has 10 or more partners;

1 (iv) for any other type of business entity, the name of each person with
2 an ownership interest if the entity has fewer than 10 owners, or the name of the person with the greatest
3 ownership interest in the entity, if the entity has 10 or more owners;

4 (C) Expenditure lobbyists that are individuals shall provide a description of
5 their business activities;

6 (D) Each agency that the expenditure lobbyist has made, will make, or may
7 make payments to influence; and

8 (E) Any other information required by the Ethics Commission through
9 regulation, consistent with the purposes and provisions of this Chapter.

10 (c) **LOBBYIST DISCLOSURES.** For each calendar month, each lobbyist shall submit the
11 following information no later than the fifteenth calendar day following the end of the month:

12 (1) **Contact lobbyists.** Each contact lobbyist shall report to the Ethics Commission the
13 following information:

14 (A) The name, business address and business telephone number of each person
15 from whom the lobbyist or the lobbyist's employer received or expected to receive economic
16 consideration to influence local legislative or administrative action during the reporting period.

17 (B) The name of each officer of the City and County of San Francisco with
18 whom the lobbyist made a contact during the reporting period.

19 (C) The date on which each contact was made.

20 (D) The local legislative or administrative action that the lobbyist sought to
21 influence, including, if any, the title and file number of any resolution, motion, appeal, application,
22 petition, nomination, ordinance, amendment, approval, referral, permit, license, entitlement, or
23 contract, and the outcome sought by the client.

24 (E) The client on whose behalf each contact was made.
25

1 (F) The amount of economic consideration received or expected by the lobbyist
2 or the lobbyist's employer from each client during the reporting period.

3 (G) All activity expenses incurred by the lobbyist during the reporting period,
4 including the following information:

5 (i) The date and amount of each activity expense;

6 (ii) The full name and official position, if any, of the beneficiary of each
7 activity expense, a description of the benefit, and the amount of the benefit;

8 (iii) The full name of the payee of each activity expense if other than the
9 beneficiary;

10 (iv) Whenever a lobbyist is required to report a salary of an individual
11 pursuant to this subsection (c)(1), the lobbyist need only disclose whether the total salary payments
12 made to the individual during the reporting period was less than or equal to \$250, greater than \$250
13 but less than or equal to \$1,000, greater than \$1,000 but less than or equal to \$10,000, or greater than
14 \$10,000.

15 (H) All campaign contributions of \$100 or more made or delivered by the
16 lobbyist or the lobbyist's employer, or made by a client at the behest of the lobbyist or the lobbyist's
17 employer during the reporting period to an officer of the City and County, a candidate for such office, a
18 committee controlled by such officer or candidate, or a committee primarily formed to support or
19 oppose such officer or candidate, or any committee primarily formed to support or oppose a measure to
20 be voted on only in San Francisco. This report shall include such campaign contributions arranged by
21 the lobbyist, or for which the lobbyist acted as an agent or intermediary.

22 The following information regarding each campaign contribution shall be
23 submitted to the Ethics Commission:

24 (i) The amount of the contribution;

25 (ii) The name of the contributor;

1 (iii) The date on which the contribution was made;

2 (iv) The contributor's occupation;

3 (v) The contributor's employer, or if self-employed, the name of the
4 contributor's business; and

5 (vi) The committee to which the contribution was made.

6 (I) For each contact at which a person providing purely technical data, analysis,
7 or expertise was present, as described in Section 2.106(b)(10), the name, address, employer and area
8 of expertise of the person providing the data, analysis or expertise.

9 (J) Any other information required by the Ethics Commission through regulation
10 consistent with the purposes and provisions of this Chapter.

11 (2) **Expenditure lobbyists.** Each expenditure lobbyist shall report to the Ethics
12 Commission the following information:

13 (A) The local legislative or administrative action that the lobbyist sought to
14 influence, including, if any, the title and file number of any resolution, motion, appeal, application,
15 petition, nomination, ordinance, amendment, approval, referral, permit, license, entitlement, or
16 contract.

17 (B) The total amount of payments made during the reporting period to influence
18 local legislative or administrative action.

19 (C) Each payment of \$1,000 or more made during the reporting period,
20 including the date of payment, the name and address of each person receiving the payment, a
21 description of the payment, and a description of the consideration for which the payment was made.

22 (D) All campaign contributions of \$100 or more made or delivered by the
23 lobbyist or made at the behest of the lobbyist during the reporting period to an officer of the City and
24 County, a candidate for such office, a committee controlled by such officer or candidate, or a
25 committee primarily formed to support or oppose such officer or candidate, or any committee primarily

1 formed to support or oppose a measure to be voted on only in San Francisco. This report shall include
2 such campaign contributions arranged by the lobbyist, or for which the lobbyist acted as an agent or
3 intermediary.

4 The following information regarding each campaign contribution shall be
5 submitted to the Ethics Commission:

6 (i) The amount of the contribution;

7 (ii) The name of the contributor;

8 (iii) The date on which the contribution was made;

9 (iv) The contributor's occupation;

10 (v) The contributor's employer, or if self-employed, the name of the
11 contributor's business; and

12 (vi) The committee to which the contribution was made.

13 (E) Any other information required by the Ethics Commission through
14 regulation, consistent with the purposes and provisions of this Chapter 1.

15 (d) **DUTY TO UPDATE INFORMATION.** Lobbyists shall amend any information submitted
16 to the Ethics Commission through registration and monthly disclosures within five days of the changed
17 circumstances that require correction or updating of such information.

18 (e) **REGISTRATION AND FILING OF DISCLOSURES BY ORGANIZATIONS.** The
19 Ethics Commission is authorized to establish procedures to permit the registration and filing of contact
20 lobbyist disclosures by a business, firm, or organization on behalf of the individual contact lobbyists
21 employed by those businesses, firms, or organizations.

22 **(f) FEES; TERMINATION OF REGISTRATION.**

23 (1) At the time of registration each lobbyist shall pay a fee of \$500. On or before every
24 subsequent February 1, each registered lobbyist shall pay an additional fee of \$500.

1 (2) Failure to pay the annual fee by February 1 shall constitute a termination of a
2 lobbyist's registration with the Ethics Commission. The Ethics Commission is also authorized to
3 establish additional processes for the termination of a lobbyist's registration.

4 (3) The Ethics Commission shall waive all registration fees for any full-time employee
5 of a tax-exempt organization presenting proof of the organization's tax-exempt status under 26 U.S.C.
6 Section 501(c)(3) or 501(c)(4).

7 (4) The Ethics Commission shall deposit all fees collected pursuant to this Section in the
8 General Fund of the City and County of San Francisco.

9
10 **SEC. 2.115. LIMITS AND PROHIBITIONS.**

11 (a) FUTURE EMPLOYMENT. No lobbyist shall cause or influence the introduction or
12 initiation of any local legislative or administrative action for the purpose of thereafter being employed
13 or retained to secure its granting, denial, confirmation, rejection, passage, or defeat.

14 (b) FICTITIOUS PERSONS. No contact lobbyist shall contact any officer of the City and
15 County in the name of any fictitious person or in the name of any real person, except with the consent
16 of such real person.

17 (c) EVASION OF OBLIGATIONS. No lobbyist shall attempt to evade the obligations
18 imposed by this Chapter through indirect efforts or through the use of agents, associates, or employees.

19 **(d) CAMPAIGN CONTRIBUTIONS - PROHIBITIONS.**

20 (1) No lobbyist shall make any contribution to a City elective officer or candidate for
21 City elective office, including the City elective officer's or candidate's controlled committees, if that
22 lobbyist (A) is registered to lobby the agency of the City elective officer or the agency for which the
23 candidate is seeking election or (B) has been registered to lobby that agency in the previous 90 days.

1 (2) If a lobbyist has failed to disclose which agencies the lobbyist attempts to influence,
2 as required by Section 2.110(b), the lobbyist may not make a contribution to any City elective officer or
3 candidate for City elective office, or any City elective officer's or candidate's controlled committees.

4 **(e) BUNDLING OF CAMPAIGN CONTRIBUTIONS - PROHIBITIONS.**

5 (1) No lobbyist shall deliver or transmit, or deliver or transmit through a third party,
6 any contribution made by another person to any City elective officer or candidate for City elective
7 office, or any City elective officer's or candidate's controlled committees, if that lobbyist (A) is
8 registered to lobby the agency for which the candidate is seeking election or the agency of the City
9 elective officer or (B) has been registered to lobby that agency in the previous 90 days.

10 (2) If a lobbyist has failed to disclose which agencies the lobbyist attempts to influence,
11 as required by Section 2.110(b), the lobbyist may not deliver or transmit, or deliver or transmit through
12 a third party, any contribution made by another person to any City elective officer or candidate for City
13 elective office, or any City elective officer's or candidate's controlled committees.

14 **(f) AGGREGATION OF AFFILIATED ENTITY CONTRIBUTIONS.** For purposes of the
15 contribution limits imposed by subsections (e) and (f), the contributions of an entity whose
16 contributions are directed and controlled by any lobbyist shall be aggregated with contributions made
17 by that lobbyist as set forth in Section 1.114(c).

18 **(g) REGULATIONS.** The Ethics Commission may adopt regulations implementing this
19 Section 2.115, but such regulations may not establish any exceptions from the limits and prohibitions
20 set forth therein.

21
22 **SEC. 2.116. LOBBYIST TRAINING.**

23 (a) Each contact lobbyist must complete a lobbyist training session offered by the Ethics
24 Commission within one year of the lobbyist's initial registration. Thereafter, contact lobbyists shall
25 attend additional training sessions as required by the Executive Director, at his or her discretion.

1 (b) The Ethics Commission shall make lobbyist training sessions available on its website.

2 (c) On or before the deadline for completing any required lobbyist training session, each
3 contact lobbyist must file a signed declaration with the Ethics Commission stating, under penalty of
4 perjury, that the lobbyist has completed the required training session.

5
6 **SEC. 2.117. LOBBYING BY CAMPAIGN CONSULTANTS.**

7 (a) **PROHIBITION.** No campaign consultant, individual who has an ownership interest in the
8 campaign consultant, or an employee of the campaign consultant shall communicate with any officer of
9 the City and County who is a current or former client of the campaign consultant on behalf of another
10 person or entity (other than the City and County) in exchange for economic consideration for the
11 purpose of influencing local legislative or administrative action.

12 (b) **EXCEPTIONS.**

13 (1) This prohibition shall not apply to:

14 (A) an employee of a campaign consultant whose sole duties are clerical; or

15 (B) an employee of a campaign consultant who did not personally provide
16 campaign consulting services to the officer of the City and County with whom the employee seeks to
17 communicate in order to influence local legislative or administrative action.

18 (2) The exceptions in Subsection (b)(1) shall not apply to any person who communicates
19 with an officer of the City and County in his or her capacity as an employee of the campaign consultant
20 who is prohibited by Subsection (a) from making the communication.

21 (c) **DEFINITIONS.** Whenever the following words or phrases are used in this Section, they
22 shall mean:

23 (1) "Campaign consultant" shall have the same meaning as in Article I, Chapter 5,
24 Section 1.505 of this Code.

1 (2) "Campaign consulting services" shall have the same meaning as in Article I,
2 Chapter 5, Section 1.505 of this Code.

3 (3) "Current client" shall mean a person for whom the campaign consultant has filed a
4 client authorization statement pursuant to Article I, Chapter 5, Section 1.515(d) of this Code and not
5 filed a client termination statement pursuant to Article I, Chapter 5, Section 1.515(f) of this Code. If
6 such person is a committee as defined by Section 82013 of the California Government Code, the
7 current client shall be any individual who controls such committee; any candidate that such committee
8 was primarily formed to support; and any proponent or opponent of a ballot measure that the
9 committee is primarily formed to support or oppose.

10 (4) "Employee" shall mean an individual employed by a campaign consultant, but does
11 not include any individual who has an ownership interest in the campaign consultant that employs
12 them.

13 (5) "Former client" shall mean a person for whom the campaign consultant has filed a
14 client termination statement pursuant to Article I, Chapter 5, Section 1.515(f) of this Code within the 60
15 months prior to communicating with the person.

16
17 **SEC. 2.120. EMPLOYMENT OF CITY AND COUNTY OFFICERS OR EMPLOYEES;**
18 **APPOINTMENT OF EMPLOYEE TO CITY AND COUNTY OFFICE.**

19 (a) **EMPLOYMENT OF CITY AND COUNTY OFFICERS OR EMPLOYEES.** If any
20 lobbyist employs or requests, recommends or causes a client of the lobbyist to employ, and such client
21 does employ, any officer of the City and County, any immediate family member or registered domestic
22 partner of an officer of the City and County, or any person known by such lobbyist to be a full-time
23 employee of the City and County, in any capacity whatsoever, the lobbyist shall file within 10 days after
24 such employment a statement with the Ethics Commission setting out the name of the employee, the
25 date first employed, the nature of the employment duties, and the salary or rate of pay of the employee.

1 (b) **APPOINTMENT OF EMPLOYEE TO CITY OFFICE.** If an employee of a lobbyist is
2 appointed to City or County office, the lobbyist shall file within 10 days after such appointment a
3 statement with the Ethics Commission setting out the name of the employee, the date first employed, the
4 nature of the employment duties, and the salary or rate of pay of the employee.

5 (c) **REPORT OF SALARY.** Whenever a filer is required to report the salary of an employee
6 who is also an officer or employee of the City and County pursuant to this Section, the filer need only
7 disclose whether the total salary payments made to the employee are less than or equal to \$250,
8 greater than \$250 but less than or equal to \$1,000, greater than \$1,000 but less than or equal to
9 \$10,000, or greater than \$10,000.

10
11 **SEC. 2.130. EMPLOYMENT OF UNREGISTERED PERSONS.**

12 It shall be unlawful knowingly to pay any contact lobbyist to contact any officer of the City and
13 County of San Francisco, if said contact lobbyist is required to register under this Chapter and has not
14 done so by the deadlines imposed in this Chapter.

15
16 **SEC. 2.135. FILING UNDER PENALTY OF PERJURY; RETENTION OF DOCUMENTS;**
17 **AUDITS.**

18 (a) All information required under this Chapter shall be submitted to the Ethics Commission, in
19 the format designated by the Commission, which may include an electronic format. The lobbyist shall
20 verify, under penalty of perjury, the accuracy and completeness of the information provided under this
21 Chapter.

22 (b) The lobbyist shall retain for a period of five years all books, papers and documents
23 necessary to substantiate the registration and disclosure reports required by this Chapter. These
24 records shall include, but not be limited to, copies of all fundraising solicitations sent by the lobbyist or
25 his or her agent for an officer of the City and County, a candidate for such office, a committee

1 controlled by such officer or candidate, or a committee primarily formed to support or oppose such
2 officer or candidate, or any committee primarily formed to support or oppose a ballot measure to be
3 voted on only in San Francisco.

4 (c) On an annual basis, the Executive Director shall initiate audits of one or more lobbyists
5 selected at random. At the request of the Executive Director, the Controller may assist in conducting
6 these audits. This requirement shall not restrict the authority of the Executive Director or the Ethics
7 Commission to undertake any other audits or investigations of a lobbyist authorized by law or
8 regulation. Within ten business days of a request by the Ethics Commission, a lobbyist or anyone
9 required to register as a lobbyist shall provide the Ethics Commission with any documents required to
10 be retained under this Section.

11
12 **SEC. 2.136. FALSE INFORMATION; DUTY TO COOPERATE AND ASSIST.**

13 (a) **PROHIBITION.** No person shall knowingly and intentionally furnish false or fraudulent
14 evidence, documents, or information to the Ethics Commission, District Attorney or City Attorney, or
15 knowingly and intentionally misrepresent any material fact, or conceal any evidence, documents, or
16 information relevant to an investigation by the Ethics Commission, District Attorney or City Attorney of
17 an alleged violation of this Chapter.

18 (b) **DUTY TO COOPERATE AND ASSIST.** The Ethics Commission, District Attorney or City
19 Attorney may request and shall receive from every City officer and employee cooperation and
20 assistance with an investigation into an alleged violation of this Chapter.

21
22 **SEC. 2.140. POWERS AND DUTIES OF THE ETHICS COMMISSION.**

23 (a) The Ethics Commission shall prescribe the format for the submission of all information
24 required by this Chapter.

1 **(b) Upon request by the Board of Supervisors or the Mayor, the Ethics Commission shall**
2 **compile the information submitted pursuant to this Chapter and forward a report of the compiled**
3 **information to the Board of Supervisors and the Mayor within thirty days of receipt of the request.**

4 **(c) Upon request by the Board of Supervisors or the Mayor, the Ethics Commission shall file a**
5 **report with the Board of Supervisors and the Mayor on the implementation of this Chapter within thirty**
6 **days of receipt of the request.**

7 **(d) The Ethics Commission shall preserve all original reports, statements, and other records**
8 **required to be kept or filed under this Chapter for a period of five years. Such reports, statements, and**
9 **records shall constitute a part of the public records of the Ethics Commission and shall be open to**
10 **public inspection.**

11 **(e) The Ethics Commission shall provide formal and informal advice regarding the duties**
12 **under this Chapter of a person or entity pursuant to the procedures specified in San Francisco Charter**
13 **Section C3.699-12.**

14 **(f) The Ethics Commission shall have the power to adopt all reasonable and necessary rules**
15 **and regulations for the implementation of this Chapter pursuant to Charter Section 15.102.**

16 **(g) The Ethics Commission shall conduct quarterly workshops concerning the laws relating to**
17 **lobbying.**

18
19 **SEC. 2.145. ADMINISTRATIVE AND CIVIL ENFORCEMENT AND PENALTIES.**

20 **(a) If any lobbyist fails to submit any information required by this Chapter after any applicable**
21 **deadline, the Ethics Commission shall, in addition to any other penalties or remedies established in this**
22 **Chapter, impose a late filing fee of \$50 per day after the deadline until the information is received by**
23 **the Ethics Commission. The Executive Director of the Ethics Commission may reduce or waive a late**
24 **filing fee if the Executive Director determines that the late filing was not willful and that enforcement**
25 **will not further the purposes of this Chapter. If such reduction or waiver equals or exceeds \$500, the**

1 Executive Director shall notify the Commission of his or her determination. Thereafter, any two or
2 more members of the Commission may cause the reduction or waiver to be calendared for
3 consideration by the full Commission in open session at the next Commission meeting occurring no
4 sooner than ten days from the date the Executive Director informs the Commission of the Executive
5 Director's recommendation. A Commissioner's request that a reduction or waiver be calendared must
6 be received by the Executive Director no fewer than five days prior to the date of the meeting, so that
7 the Executive Director may comply with the applicable notice and agenda requirements. The Ethics
8 Commission shall deposit funds collected under this Section in the General Fund of the City and
9 County of San Francisco.

10 (b) Any person who violates this Chapter, including but not limited to, by providing inaccurate
11 or incomplete information regarding lobbying activities, may be liable in an administrative proceeding
12 before the Ethics Commission pursuant to Charter Section C3.699-13. In addition to the administrative
13 penalties set forth in the Charter, the Ethics Commission may issue warning letters regarding potential
14 violations of this Chapter both to the lobbyist and the person who pays or employs the lobbyist.

15 (c) Any person or entity which knowingly or negligently violates this Chapter may be liable in a
16 civil action brought by the City Attorney for an amount up to \$5,000 per violation, or three times the
17 amount not properly reported, or three times the amount given or received in excess of the gift limit,
18 whichever is greater.

19 (d) In investigating any alleged violation of this Chapter the Ethics Commission and City
20 Attorney shall have the power to inspect all documents required to be maintained under this Chapter.
21 This power to inspect documents is in addition to other powers conferred on the Ethics Commission
22 and City Attorney by the Charter or by ordinance, including the power of subpoena.

23 **(e) JOINT AND SEVERAL LIABILITY.**

24 (1) Should two or more persons be responsible for any violation under this Chapter,
25 they may be jointly and severally liable.

1 (2) The client or employer of a lobbyist shall be jointly and severally liable for all
2 violations of this Chapter committed by the lobbyist in connection with acts or omissions undertaken on
3 behalf of that client or employer.

4 (3) If a business, firm or organization registers or files lobbyist disclosures on behalf of
5 its employees pursuant to Section 2.110(d), the business, firm or organization may be held jointly and
6 severally liable for any failure to disclose its employees' lobbying activities.

7 (f) The City Attorney may also bring an action to revoke for up to one year the registration of
8 any lobbyist who has knowingly violated this Chapter.

9
10 **SEC. 2.150. LIMITATION OF ACTIONS.**

11 (a) No civil action shall be brought to enforce this Chapter unless brought within four years
12 after the date the cause of action accrued or the date that the facts constituting the cause of action were
13 discovered by the City Attorney. For the purpose of this Subsection, a civil action is brought when the
14 City Attorney files the action in a court of law.

15 (b) No administrative action alleging a violation of this Chapter and brought under Charter
16 Section C3.699-13 shall be brought more than four years after the date of events which form the basis
17 of the complaint, or the date that the events constituting the basis of the complaint were discovered by
18 the Ethics Commission. For the purpose of this Subsection, a complaint is brought by the Executive
19 Director of the Ethics Commission upon the date of service of the probable cause report.

20 (c) A civil action brought to enforce or collect penalties or late filing fees imposed under this
21 Chapter shall be brought within four years after the date on which the penalty or late filing fee was
22 imposed. For purposes of this Subsection, a penalty or late filing fee is imposed when the Ethics
23 Commission has issued a final decision in an enforcement action imposing a penalty for a violation of
24 this Chapter or the Ethics Commission or Executive Director has made a final determination regarding
25 the amount of a late filing fee imposed under this Chapter. The Ethics Commission or Executive

1 Director does not make a final determination regarding the amount of a late filing fee imposed under
2 this Chapter until the Ethics Commission or Executive Director has made a determination to accept or
3 refuse any request to waive a late filing fee where such waiver has been timely requested and is
4 expressly authorized by statute, ordinance, or regulation. For the purpose of this Subsection, a civil
5 action is brought when the City Attorney files the action in a court of law.

6
7 **SEC. 2.155. SEVERABILITY.**

8 If any section, subsection, subdivision, sentence, clause, phrase or portion of this Chapter, or
9 the application thereof to any person, is for any reason held to be invalid or unconstitutional by the
10 decision of any court of competent jurisdiction, such decision shall not affect the validity of the
11 remaining portions of this Chapter or its application to other persons. The voters hereby declare that
12 they would have adopted this Chapter, and each section, subsection, subdivision, sentence, clause,
13 phrase or portion thereof, irrespective of the fact that any one or more sections, subsections,
14 subdivisions, sentences, clauses, phrases, or portions, or the application thereof to any person, to be
15 declared invalid or unconstitutional.

16
17 Section 3. Article III, Chapter 1 of the Campaign and Governmental Conduct Code is
18 hereby amended by revising Sections 3.1-102 and 3.1-102.5, to read as follows:

19 **SEC. 3.1-102. FILING REQUIREMENTS.**

20 (a) **Officers and Employees.** Each officer and employee of the City and County of
21 San Francisco holding a position designated in this Chapter I, other than those officials
22 identified in Section 3.1-500, shall file statements disclosing the information required by the
23 disclosure categories set forth in this Chapter, on such forms as may be specified by the Fair
24 Political Practices Commission in a format specified by the Ethics Commission (Form 700
25 unless otherwise provided by the Commission), and at such times required by Regulation

1 18730. A copy of the forms to be used shall be supplied by the Ethics Commission to each
2 filing officer, upon request. Every officer and employee holding a position designated in this
3 Chapter shall retain his or her filing obligations, notwithstanding any reclassification or title
4 change that may occur in the future as to the same job duties.

5 (b) **Candidates.** Each candidate for City elective office, as that term is defined in
6 Chapter 1 of Article I of this Code, shall file no later than the final filing date for a declaration of
7 candidacy, a statement disclosing the information required by the disclosure category for the
8 City elective office sought by the candidate. Candidates shall file such statements with the
9 Department of Elections on the same forms as used by filers under subsection (a) of this
10 Section 3.1-102. This statement shall not be required if the candidate has filed, within 60 days
11 prior to the filing of his or her declaration of candidacy, a statement for the same jurisdiction
12 pursuant to this Chapter or Sections 87202 or 87203 of the California Government Code.

13 **(c) Penalties and Enforcement.**

14 **(1) Criminal Penalties.** *Any person who knowingly or willfully violates this Section*
15 *3.1-102 shall be guilty of a misdemeanor and upon conviction thereof shall be punished by a fine of not*
16 *more than \$10,000 for each violation or by imprisonment in the County jail for a period of not more*
17 *than one year in jail or by both such fine and imprisonment.*

18 **(2) Civil Penalties.** *Any person who intentionally or negligently violates this Section*
19 *3.1-102 shall be liable in a civil action brought by the City Attorney for an amount up to \$5,000 for*
20 *each violation.*

21 **(3) Injunctive Relief.** *The City Attorney or any San Francisco resident may bring a*
22 *civil action on behalf of the people of San Francisco to enjoin violations of or compel compliance with*
23 *this Section 3.1-102.*

24 **(A)** *No resident may commence a civil action under this Section 3.1-102 without*
25 *first notifying the City Attorney in writing of the intent to file a civil action under this Section*

1 3.1-102. If the City Attorney fails to notify the resident within 120 days of receipt of the notice
2 that the City Attorney has filed or will file a civil action, the complainant may file the action.
3 No resident may file an action under this Section 3.1-102 if the City Attorney responds within
4 120 days that the City Attorney intends to file an action or has already filed a civil action.

5 (B) No resident may bring an action under this Section 3.1-102 if the Ethics
6 Commission has issued a finding of probable cause arising out of the same facts, the District
7 Attorney has commenced a criminal action arising out of the same facts, or another resident has
8 filed a civil action under this Section arising out of the same facts.

9 (C) A court may award reasonable attorney's fees and costs to any resident who
10 obtains injunctive relief under this Section 3.1-102.

11 (4) **Administrative Penalties.** Any person who violates this Section 3.1-102 shall be
12 subject to and may be held liable in an administrative proceeding before the Ethics Commission held
13 pursuant to the Charter. In addition to the administrative penalties set forth in the Charter, the Ethics
14 Commission may issue warning letters to City officers and employees.

15 (5) **Statute of Limitations.** No person may bring a criminal, civil, or administrative
16 action under this Section 3.1-102 against any other person more than four years after the date of the
17 alleged violation.

19 **SEC. 3.1-102.5. FAILURE TO FILE.**

20 (a) **Potential Discipline.** Subject to the removal and Civil Service provisions of the
21 Charter as well as any applicable Civil Service Rules, any officer or employee of the City and
22 County of San Francisco who fails to file any statement required by Sections 3.1-101 and 3.1-
23 102 of this Chapter 1 within 30 days after receiving notice from the Ethics Commission of a
24 failure to file may be subject to disciplinary action by ~~his or her~~ their appointing authority,
25 including removal from office or termination of employment.

1 (b) **Warning Letter.** The Ethics Commission may issue a letter to an appointing
2 authority recommending suspension or removal of any City officer or termination of any City
3 employee who has failed to file a statement required by Sections 3.1-101 and 3.1-102 of this
4 Chapter 1 if the City officer or employee has not filed the required statement within 30 days of
5 receiving notice from the Ethics Commission of ~~his or her~~ their failure to file.

6 (c) **Required Disqualification by Members of Boards and Commissions.**
7 Members of City boards or commissions who have failed to file statements required by
8 Sections 3.1-101, 3.1-102, and 3.1-103 of the Campaign and Governmental Conduct Code
9 (Form 700 Statements of Economic Interests, Sunshine Ordinance Declarations, and
10 Certificates of Ethics Training) by the applicable filing deadline shall be disqualified from all
11 participation in and voting on matters listed on their boards' and commissions' meeting
12 agendas.

13 (1) **Waiver.** A member of a City board or commission may seek a waiver for
14 cause from the Ethics Commission's Executive Director excusing ~~his or her~~ the member's failure
15 to file the statements required by Sections 3.1-101, 3.1-102, and 3.1-103 of the Campaign
16 and Governmental Conduct Code. If the Executive Director grants such a waiver, the
17 member of a board or commission will not be disqualified under this subsection (c); provided
18 that after a member of board or commission has sought a waiver and while the waiver is
19 pending before the Executive Director, the member shall continue to be disqualified.

20 (2) **Subsequent Filing of Required Statements.** After a member of City board
21 or commission files any delinquent statement required by Sections 3.1-101, 3.1-102, and 3.1-
22 103 of the Campaign and Governmental Conduct Code, the member shall no longer be
23 disqualified under this subsection (c).

24 (3) Penalties and Enforcement.
25

1 (A) **Criminal Penalties.** Any person who knowingly or willfully violates this
2 subsection (c) shall be guilty of a misdemeanor and upon conviction thereof shall be punished by a fine
3 of not more than \$10,000 for each violation or by imprisonment in the County jail for a period of not
4 more than one year in jail or by both such fine and imprisonment.

5 (B) **Civil Penalties.** Any person who intentionally or negligently violates this
6 subsection (c) shall be liable in a civil action brought by the City Attorney for an amount up to \$5,000
7 for each violation.

8 (C) **Injunctive Relief.** The City Attorney or any San Francisco resident may
9 bring a civil action on behalf of the people of San Francisco to enjoin violations of or compel
10 compliance with this subsection (c).

11 (i) No resident may commence a civil action under this subsection (c)
12 without first notifying the City Attorney in writing of the intent to file a civil action under this
13 subsection (c). If the City Attorney fails to notify the resident within 120 days of receipt of the
14 notice that the City Attorney has filed or will file a civil action, the complainant may file the
15 action. No resident may file an action under this subsection (c) if the City Attorney responds
16 within 120 days that the City Attorney intends to file an action or has already filed a civil
17 action.

18 (ii) No resident may bring an action under this subsection (c) if the Ethics
19 Commission has issued a finding of probable cause arising out of the same facts, the District
20 Attorney has commenced a criminal action arising out of the same facts, or another resident has
21 filed a civil action under this Section arising out of the same facts.

22 (iii) A court may award reasonable attorney's fees and costs to any
23 resident who obtains injunctive relief under this subsection (c).

24 (D) **Administrative Penalties.** Any person who violates this subsection (c) shall
25 be subject to and may be held liable in an administrative proceeding before the Ethics Commission

1 held pursuant to the Charter. In addition to the administrative penalties set forth in the Charter, the
2 Ethics Commission may issue warning letters to City officers and employees.

3 (E) Statute of Limitations. No person may bring a criminal, civil, or
4 administrative action under this subsection (c) against any other person more than four years after the
5 date of the alleged violation.

6 (d) **Public Announcement.** If a member of a City board or commission has failed to
7 file a required statement (Form 700 Statement of Economic Interests, Sunshine Ordinance
8 Declaration, or Certificate of Ethics Training), at the beginning of each meeting of the board or
9 commission that occurs after the applicable deadline for the required statement and before
10 the member of the board or commission files the required statement, the Commission
11 Secretary, or any City staff who fulfills that role, shall announce that the member of the board
12 or commission has failed to file a statement required by Sections 3.1-101, 3.1-102, and 3.1-
13 103 of this Chapter 1 and that the member will be disqualified from all participation in and
14 voting on matters coming before the board or commission.

15
16 Section 4. Article III, Chapter 2 of the Campaign and Governmental Conduct Code is
17 hereby amended by revising Sections 3.203 (with added definitions placed in alphabetical
18 sequence), 3.204, 3.214, 3.216, and 3.242, deleting the entire text of Section 3.218 and
19 replacing it with added new text, and adding Sections 3.205, 3.217, and 3.243, to read as
20 follows:

21 **SEC. 3.203. DEFINITIONS.**

22 Whenever in this Chapter 2 the following words or phrases are used, they shall mean:

23 "Affiliate" shall mean any member of an entity's board of directors or any of that entity's
24 principal officers, including its chairperson, chief executive officer, chief financial officer, chief
25 operating officer, and any person with an ownership interest of more than 10% in the entity.

1 “Anything of value” shall mean any money or property, private financial advantage,
2 service, payment, advance, forbearance, loan, or promise of future employment, but does not
3 include compensation and expenses paid by the City; or contributions as defined herein, ~~or~~
4 ~~gifts that qualify for gift exceptions established by State or local law.~~

5 “Appointed department head” shall mean any department head who is required to file a
6 Statement of Economic Interests as set forth in Section 3.1-103(b)(1) of this Code, except for the
7 Assessor-Recorder, City Attorney, District Attorney, Mayor, Public Defender, Sheriff, and Treasurer.

8 * * * *

9 “Contract” shall mean any agreement, including any amendment or modification to an
10 agreement, with the City and County of San Francisco for:

11 (a) the rendition of personal services,

12 (b) the furnishing of any material, supplies, or equipment,

13 (c) the sale or lease of any land or building,

14 (d) a grant, loan, or loan guarantee, or

15 (e) a development agreement.

16 * * * *

17 “Department head” shall mean any City official who is required to file a Statement of
18 Economic Interests as set forth in Section 3.1-103(b)(1) of this Code.

19 “Doing business with the department” shall mean:

20 (a) being a party to or seeking to become a party to a contract with the department, until 12
21 months after the term of the contract ends or, if no contract is approved, 12 months after negotiations
22 regarding the contract terminate; or

23 (b) seeking, obtaining, or possessing a license, permit, or other entitlement for use issued by
24 the department, and appealable to or approved by the department head, the department’s board or
25 commission, or the Board of Supervisors, until 12 months after the date the license, permit, or other

1 entitlement for use was issued, extended, or otherwise approved or, if no license, permit, or other
2 entitlement for use was issued or approved, 12 months after the day the final decision not to issue or
3 approve was made.

4 “Family member” shall mean an immediate family member, sibling, parent, grandparent,
5 grandchild, aunt, uncle, niece, nephew, or sibling of a spouse or registered domestic partner. Each
6 term shall be inclusive of relationships established by birth, adoption, or marriage.

7 * * * *

8 “Gift” shall mean any payment that confers a personal benefit on the recipient, to the extent
9 that consideration of equal or greater value is not received and includes a rebate or discount in the
10 price of anything of value unless the rebate or discount is made in the regular course of business to
11 members of the public without regard to official status. Any person, other than a defendant in a
12 criminal action, who claims that a payment is not a gift by reason of receipt of consideration has the
13 burden of proving that the consideration received is of equal or greater value. Any gift exceptions
14 established by State law shall not apply to “gift,” as used in this Chapter.

15 * * * *

16 “License, permit, or other entitlement for use” shall mean business, professional, trade, and
17 land use licenses and permits and other entitlements for use, including land use entitlements, as defined
18 in California Government Code Section 84308 and its implementing regulations, as amended from time
19 to time, provided that “entitlement for use” shall not include any contract, as defined in this Section
20 3.203.

21 * * * *

22 “Payment” shall mean a payment, distribution, transfer, loan, advance, deposit, gift or other
23 rendering of money, property, services, or anything else of value, whether tangible or intangible.

24 “Restricted source” shall mean:

1 (a) a person doing business with or seeking to do business with the department of the officer or
2 employee;

3 (b) for members of boards and commissions, including the Board of Supervisors, a person
4 doing business with any City department pursuant to a contract that required the approval of the board
5 or commission;

6 (c) a person seeking, obtaining, or possessing a license, permit, or other entitlement for use, in
7 which the officer or employee was personally and substantially involved, until 12 months after the date
8 the license, permit, or other entitlement for use was issued, extended, amended, or otherwise approved
9 or, if no license, permit, or other entitlement for use was issued or approved, 12 months after the day
10 the final decision not to issue or approve was made.

11 (d) an affiliate of an entity that qualifies as a restricted source under (a), (b), or (c);

12 (e) a person who during the prior 12 months knowingly attempted to influence the officer or
13 employee in any legislative or administrative action;

14 (f) for officers, a registered lobbyist; or

15 (g) any permit consultant, as defined under Article III, Chapter 4 of this Code, who has
16 registered as a permit consultant with the Ethics Commission, if the permit consultant has reported any
17 contacts with the designated employee's or officer's department to carry out permit consulting services
18 during the prior 12 months.

19 * * * *

21 **SEC. 3.204. AMENDMENT OR REPEAL OF THIS CHAPTER.**

22 The voters may amend or repeal this Chapter. The Board of Supervisors may amend
23 this Chapter if all of the following conditions are met:

24 (a) The amendment furthers the purposes of this Chapter;

1 (b) The Ethics Commission approves the proposed amendment in advance by at least
2 a four-fifths vote of all its members;

3 (c) The proposed amendment is available for public review at least 30 days before the
4 amendment is considered by the Board of Supervisors or any committee of the Board of
5 Supervisors; and

6 (d) The Board of Supervisors approves the proposed amendment by at least a two-
7 thirds vote of all its members.

8
9 **SEC. 3.205. ETHICS COMMISSION TRAINING.**

10 **(a) Ethics Training Requirement.** *Each City officer and employee required to file a statement*
11 *of economic interests under Article III, Chapter 1 of this Code shall annually complete an ethics*
12 *training.*

13 **(b) Administration and Content of Ethics Training.** *The Ethics Commission shall administer*
14 *the ethics training required under subsection (a). The Ethics Commission shall determine the contents*
15 *and format of the training, which shall provide information about state and local governmental ethics*
16 *laws that apply to City officers and employees.*

17 **(c) Notice.** *Every department, board, commission, and agency of the City and County shall*
18 *annually provide to its officers and employees a copy of a summary to be created by the Ethics*
19 *Commission of relevant state and local ethics laws.*

20
21 **SEC. 3.214. DISCLOSURE OF PERSONAL, PROFESSIONAL AND BUSINESS**
22 **RELATIONSHIPS.**

23 (a) **Disclosure.** A City officer or employee shall disclose on the public record any
24 personal, professional, or business relationship with any ~~individual~~ person who is the subject of
25 or has an ownership or financial interest in the subject of a governmental decision being made

1 by the officer or employee where as a result of the relationship, the ability of the officer or
2 employee to act for the benefit of the public could reasonably be questioned. For the
3 purposes of this Section 3.214, the minutes of a public meeting at which the governmental
4 decision is being made, or if the governmental decision is not being made in a public meeting,
5 a memorandum kept on file at the offices of the City officer or employee's department, board,
6 commission, or agency shall constitute the public record.

7 (b) **Penalties.** A court may void any governmental decision made by a City officer or
8 employee who fails to disclose a relationship as required by ~~§~~subsection (a) if the court
9 determines that: (1) the failure to disclose was willful; and (2) the City officer or employee
10 failed to render ~~his or her~~ their decision with disinterested skill, zeal, and diligence and
11 primarily for the benefit of the City. ~~No other penalties shall apply to a violation of this Section,~~
12 ~~provided that nothing in this Section shall prohibit an appointing authority from imposing discipline for~~
13 ~~a violation of this Section.~~

14 (c) **Regulations.** The Ethics Commission may adopt regulations setting forth the
15 types of personal, professional, and business relationships that must be disclosed pursuant to
16 this Section 3.214 and how the required disclosure must be made and archived.

18 **SEC. 3.216. BRIBERY AND GIFTS.**

19 (a) **Prohibition on Bribery.** ~~No person shall offer or make, and no officer or employee shall~~
20 ~~accept, any gift with the intent that the City officer or employee will be influenced thereby in the~~
21 ~~performance of any official act.~~

22 (1) No City officer or employee shall solicit for the benefit of any person, or accept,
23 anything of value or contribution from any person, with the intent that the City officer or employee will
24 be influenced or rewarded thereby in the performance of any official act.

1 (2) No person shall offer, provide, or agree to provide anything of value or contribution
2 to any person, with intent to influence or reward thereby any City officer or employee in the
3 performance of any official act.

4 (b) ~~General gift restrictions~~ **Restricted Source Rules.** In addition to the gift limits,
5 prohibitions, and reporting requirements imposed by the Political Reform Act and this Code
6 and any subsequent amendments thereto, the following shall be prohibited: ~~no officer or~~
7 ~~employee of the City and County shall solicit or accept any gift or loan from a person who the officer~~
8 ~~or employee knows or has reason to know is a restricted source, except loans received from~~
9 ~~commercial lending institutions in the ordinary course of business.~~

10 (1) No City officer or employee may solicit, coordinate, facilitate, or accept, any gift for
11 themselves or for any other City officer or employee from a person who the officer or employee knows
12 or has reason to know is a restricted source for themselves or for the recipient of the gift.

13 (2) No City officer or employee may solicit or accept a gift from any person, including
14 any gift obtained through a City department, if the officer or employee knows or has reason to know
15 that the gift was funded, provided, or directed by a restricted source.

16 (3) No City officer or employee may solicit or accept any gift from a restricted source
17 for any of their family members.

18 (4) No lobbyist or permit consultant may offer or make a gift to any officer or employee,
19 or any of the officer's or employee's family members, nor direct the offer or making of any gift by any
20 other person, if the lobbyist or permit consultant knows or has reason to know that they are a restricted
21 source for the officer or employee. For purposes of this subsection (b)(4), a person who is required to
22 register as a lobbyist or permit consultant and file disclosures but fails to do so shall be considered a
23 restricted source for any official for whom, had the person properly registered and file disclosures, the
24 person would be considered a restricted source.

1 (5) No lobbyist or permit consultant may make a payment to an intermediary, including
2 any City department, if the lobbyist or permit consultant knows or has reason to know that the
3 intermediary will use the payment to provide a gift to any City officers or employees and that they are a
4 restricted source for the officers or employees.

5 (6) No person may accept or use a payment on condition or with the agreement or
6 mutual understanding that the payment will be used for a gift to an officer or employee, if the person
7 knows or has reason to know that the source of the payment is a restricted source for the officer or
8 employee.

9 ~~(1) **Restricted Source.** For purposes of this section, a restricted source means: (A) a~~
10 ~~person doing business with or seeking to do business with the department of the officer or employee; or~~
11 ~~(B) a person who during the prior 12 months knowingly attempted to influence the officer or employee~~
12 ~~in any legislative or administrative action.~~

13 ~~(2) **Gift.** For purposes of this subsection, the term gift has the same meaning as under~~
14 ~~the Political Reform Act, California Government Code Section 81000 et seq., and the regulations~~
15 ~~adopted thereunder, including any subsequent amendments. Gifts exempted from the limits imposed by~~
16 ~~California Government Code Section 89503 and Section 3.1-101 of the Campaign and Governmental~~
17 ~~Conduct Code shall also be exempted from the prohibition set forth in this subsection.~~

18 ~~(3) (7) **Regulations.** The Ethics Commission shall may issue regulations~~
19 ~~implementing this section Section 3.216, including regulations exempting voluntary certain gifts~~
20 ~~that are nominal in value such as gifts that are given by vendors to clients or customers in the normal~~
21 ~~course of business.~~

22 (c) **Gifts and Loans from Subordinates.** No officer or employee shall solicit or accept
23 any gift or loan, either directly or indirectly, from any subordinate or employee under ~~his or her~~
24 their supervision or from any candidate or applicant for a position as a subordinate or
25 employee under ~~his or her~~ their supervision. The Ethics Commission ~~shall~~ may issue

1 regulations implementing this Section 3.216, including regulations exempting ~~voluntary~~ certain
2 gifts that are given ~~or received for special occasions or under other~~ under circumstances in which
3 gifts are traditionally given or exchanged.

4 * * * *

5 (e) **Restrictions.** Nothing in this section 3.216 shall prohibit a City department,
6 agency, board, or commission from imposing additional gift restrictions on its officers or
7 employees.

8 *(f) **Aggregation of Gifts.** For purposes of this Section 3.216, gifts shall be aggregated as set*
9 *forth in California Code of Regulations, Title 2, Section 18945.1, as amended from time to time.*

10
11 **SEC. 3.217. DISCLOSURE OF GIFTS TO THE CITY.**

12 *(a) **Disclosure Requirement.** Any department head whose City department receives any*
13 *payment from a non-City source for which equal or greater consideration is not provided by the*
14 *department must disclose the payment to the Ethics Commission. A department head who fails to timely*
15 *report any such payment, or, if the department head has delegated the filing responsibility to a*
16 *subordinate, whose subordinate fails to timely report any such payment, may be subject to discipline by*
17 *the department head's appointing authority but shall not be subject to penalties under Section 3.242.*

18 *(b) **Contents.** The disclosure required in subsection (a) must include the following:*

- 19 *(1) the name of the source of the payment;*
20 *(2) the date of the payment;*
21 *(3) the total value of the payment;*
22 *(4) if the payment includes goods or services, a description of the goods or services;*
23 *(5) the purpose and use of the payment;*
24 *(6) the name of any City officer or employee that receives a personal benefit from the*
25 *gift or through the City's use of the gift;*

1 (7) a description and valuation of the personal benefits received by any City officer or
2 employee through the department's use of the gift;

3 (8) a description of any contract that the payor has with the department;

4 (9) a description of any license, permit, or other entitlement for use that the payor is
5 currently seeking from the department or has been issued by the department within the last 12 months
6 to the payor; and

7 (10) a description of any financial interest the payor has involving the City.

8 (c) **Deadline for Initial Filing.** The disclosure required in subsection (a) must be filed no later
9 than the fifteenth calendar day following the end of the month in which the payment was received by the
10 department.

11 (d) **Supplemental Filings.** If any of the information disclosed by the department head in the
12 initial filing made pursuant to subsection (c) changes after the time of the initial filing, the department
13 head must submit a supplemental filing within 30 days that describes those changes.

14 (e) **Form.** The disclosures required by this Section 3.217 must be made in a form and format
15 prescribed by the Ethics Commission and may include an electronic format.

16 (f) **Exception – Payments from Government Agencies.** Payments from local, state, and
17 federal government agencies to City departments are not subject to the disclosures required in this
18 Section 3.217.

20 **SEC. 3.218. INCOMPATIBLE ACTIVITIES.**

21 ~~(a) **Prohibition.** No officer or employee of the City and County may engage in any~~
22 ~~employment, activity, or enterprise that the department, board, commission, or agency of which he or~~
23 ~~she is a member or employee has identified as incompatible in a statement of incompatible activities~~
24 ~~adopted under this Section. No officer or employee may be subject to discipline or penalties under this~~
25

1 ~~Section unless he or she has been provided an opportunity to demonstrate that his or her activity is not~~
2 ~~in fact inconsistent, incompatible or in conflict with the duties of the officer or employee.~~

3 ~~(b) **Statement of Incompatible Activities.** Every department, board, commission, and agency~~
4 ~~of the City and County shall, by August 1 of the year after which this Section becomes effective, submit~~
5 ~~to the Ethics Commission a statement of incompatible activities. No statement of incompatible~~
6 ~~activities shall become effective until approved by the Ethics Commission after a finding that the~~
7 ~~activities are incompatible under the criteria set forth in Subsection (c). After initial approval by the~~
8 ~~Ethics Commission, a department, board, commission or agency of the City and County may, subject to~~
9 ~~the approval of the Ethics Commission, amend its statement of incompatible activities. The Ethics~~
10 ~~Commission may, at any time, amend the statement of incompatible activities of any department, board,~~
11 ~~commission or agency of the City and County.~~

12 ~~(c) **Required Language.** Each statement of incompatible activities shall list those outside~~
13 ~~activities that are inconsistent, incompatible, or in conflict with the duties of the officers and employees~~
14 ~~of the department, board, commission, or agency of the City and County. This list shall include, but~~
15 ~~need not be limited to, activities that involve: (1) the use of the time, facilities, equipment and supplies~~
16 ~~of the City and County; or the badge, uniform, prestige, or influence of the City and County officer or~~
17 ~~employee's position for private gain or advantage; (2) the receipt or acceptance by an officer or~~
18 ~~employee of the City and County of any money or other thing of value from anyone other than the City~~
19 ~~and County for the performance of an act that the officer or employee would be required or expected to~~
20 ~~render in the regular course of his or her service or employment with the City and County; (3) the~~
21 ~~performance of an act in a capacity other than as an officer or employee of the City and County that~~
22 ~~may later be subject directly or indirectly to the control, inspection, review, audit or enforcement of the~~
23 ~~City and County officer or employee's department, board, commission or agency; and (4) time demands~~
24 ~~that would render performance of the City and County officer or employee's duties less efficient. The~~
25 ~~Ethics Commission may permit City boards and commissions to exclude any required language from~~

1 ~~their statement of incompatible activities if their members, by law, must be appointed in whole or in~~
2 ~~part to represent any profession, trade, business, union or association.~~

3 ~~(d) **Meet and Confer.** No statement of incompatible activities or any amendment thereto shall~~
4 ~~become operative until the City and County has satisfied the meet and confer requirements of State law.~~

5 ~~(e) **Notice.** Every department, board, commission and agency of the City and County shall~~
6 ~~annually provide to its officers and employees a copy of its statement of incompatible activities.~~

7 ~~(f) **Existing Civil Service Rules.** Rules and Regulations relating to outside activities previously~~
8 ~~adopted or approved by the Civil Service Commission shall remain in effect until statements of~~
9 ~~incompatible activities are adopted pursuant to this Section.~~

10 (a) **Prohibitions.** City officers and employees shall not engage in the following activities:

11 (1) **Activities Subject to the Department's Jurisdiction.** City officers and employees
12 shall not engage in activities that are subject to the control, inspection, review, audit, permitting,
13 enforcement, contracting, or are otherwise within the responsibility of the officer or employee's
14 department. But City officers and employees may engage in certain activities including, but not limited
15 to, the following: being a party to a matter before or otherwise appearing before one's own department
16 or commission on behalf of oneself or one's immediate family, filing or otherwise pursuing claims
17 against the City on one's own behalf, making a public records disclosure request or other request for
18 information as permitted by law, attending and participating in a meeting of a board, commission, or
19 other policy body under the Brown Act or Sunshine Ordinance, and engaging in non-compensated,
20 volunteer activity for a nonprofit organization with tax exempt status under 26 United States Code
21 Section 501(c)(3) or 501(c)(5). Incompatible activities prohibited by this subsection (a)(1) shall
22 include, but are not limited, to the following:

23 (A) contracting with one's own department or having a financial interest in or
24 serving on the board of directors for an entity that contracts with one's own department (but this
25

1 prohibition shall not extend to any entity solely because an officer or employee's spouse or registered
2 domestic partner has a financial interest in the entity or serves as a member of its board of directors);

3 (B) acquiring an ownership interest in real property, if the officer or employee
4 had participated personally and substantially in the permitting or inspection of that property within the
5 12 months prior to the acquisition; and

6 (C) having or acquiring a financial interest in any financial products issued or
7 regulated by the officer or employee's department.

8 (2) **Selective Assistance.** City officers and employees shall not provide assistance or
9 advice that is not generally available to all persons, in a manner that confers an advantage on any
10 person who is doing business or seeking to do business with the City. This subsection (a)(2) shall not
11 prohibit an officer or employee from communicating with individual applicants regarding the
12 individual's application, bid, or proposal, provided that such assistance is provided on an impartial
13 basis to all applicants who request it and is part of the officer or employee's City duties.

14 (3) **Use of City Resources.** City officers and employees shall not engage in the use,
15 other than minimal or incidental use, of the time, facilities, equipment, or supplies of the City for
16 private gain or advantage. Nothing in this subsection (a)(3) shall be interpreted or applied to interfere
17 with, restrict, or supersede any rights or entitlements of employees, recognized employee organizations,
18 or their members under state law or regulation or pursuant to provisions of a collective bargaining
19 agreement to use City facilities, equipment, or resources.

20 (4) **Use of Prestige of Office.** City officers and employees shall not engage in the use of
21 any marker (including without limitation a badge, uniform, or business card), prestige, or influence of
22 the City officer or employee's position for private gain or advantage.

23 (5) **Use of City Work Product.** City officers and employees shall not sell, publish, or
24 otherwise use, in exchange for anything of value and without appropriate authorization, any non-public
25 materials that were prepared on City time or while using City facilities, property (including without

1 limitation, intellectual property), equipment, or other materials. Nothing in this subsection (a)(5) shall
2 be interpreted or applied to interfere with, restrict, or supersede any rights or entitlements of
3 employees, recognized employee organizations, or their members under state law or regulation or
4 pursuant to provisions of a collective bargaining agreement to use public materials for collective
5 bargaining agreement negotiations.

6 **(6) Acting as an Unauthorized City Representative.** City officers and employees shall
7 not hold themselves out as a representative of their departments, or as an agent acting on behalf of
8 their departments, unless authorized to do so, including the use of City letterhead, title, e-mail, business
9 card, or any other resource for any communication that may lead the recipient of the communication to
10 think that the officer or employee is acting in an official capacity when the officer or employee is not.

11 **(7) Compensation for City Duties or Advice.** City officers and employees shall not
12 receive or accept a payment from anyone other than the City for the performance of a specific service
13 or act the officer or employee would be expected to render or perform in the regular course of their
14 City duties or for advice about the processes of the City directly related to the officer or employee's
15 duties and responsibilities or the processes of the officer or employee's department.

16 **(8) Lobbying Activity.** City officers and employees shall not receive or accept a
17 payment from anyone other than the City in exchange for communicating with any other City officer or
18 employee within their own department with the intent to influence an administrative or legislative
19 action.

20 **(b) Excessive Time Demands or Regular Disqualifications.** No City appointed department
21 head or employee may engage in any activity that either imposes excessive time demands such that it
22 materially impairs the appointed department head's or employee's performance of their City duties or
23 that disqualifies the appointed department head or employee from their City assignments or
24 responsibilities on a regular basis.

1 (1) Advance Written Determination. An appointed department head or employee may
2 seek an advance written determination from the decision-maker specified in subsection (b)(2) below as
3 to whether a proposed outside activity would impose excessive time demands or require regular
4 disqualifications and would therefore be prohibited under this subsection (b).

5 (2) Decision-Maker.

6 (A) For a request by an employee, the department head of the employee's
7 department or the department head's designee shall be the decision-maker on a request for an advance
8 written determination. If the department head delegates the decision-making to a designee and if the
9 designee determines that the proposed activity imposes excessive time demands or results in regular
10 disqualifications, the employee may appeal that determination to the department head.

11 (B) For a request by an appointed department head, the department head's
12 appointing authority shall be the decision-maker on a request for an advance written determination.

13 (C) The decision-maker shall respond to the request by providing a written
14 determination to the requestor by mail, email, personal delivery, or other reliable means. For a request
15 by an employee, the decision-maker shall provide the determination within a reasonable period of time
16 depending on the circumstances and the complexity of the request, but not later than 20 working days
17 from the date of the request. If the decision-maker does not provide a written determination to the
18 employee within 20 working days from the date of the employee's request, the proposed activity will be
19 determined not to violate this Subsection 3.218(b).

20 (3) Effect. An advance written determination approved by the appropriate decision-
21 maker that an activity does not impose excessive time demands or require regular disqualifications
22 provides the officer or employee immunity from any subsequent enforcement action for a violation of
23 subsection (b) if the material facts are as presented in the appointed department head or employee's
24 request for an advance written determination. An advance written determination cannot exempt the
25 requestor from any other applicable laws.

1 (4) **Public Records.** Requests for advance written determinations and advance written
2 determinations, including approvals and denials, are public records.

3 (c) **Statements of Incompatible Activities.** Statements of Incompatible Activities adopted and
4 approved prior to November 8, 2022 are hereby repealed and shall no longer have any legal effect. Any
5 administrative or disciplinary proceedings initiated prior to the repeal of a Statement of Incompatible
6 Activities alleging violations of the Statement of Incompatible Activities may continue.

8 **SEC. 3.242. PENALTIES AND ENFORCEMENT.**

9 (a) **Criminal Penalties.** Any person who knowingly or willfully violates ~~any of the City's~~
10 ~~conflict of interest and governmental ethics laws~~ this Chapter 2 shall be guilty of a misdemeanor
11 and upon conviction thereof shall be punished by a fine of not more than \$10,000 for each
12 violation or by imprisonment in the County jail for a period of not more than one year in jail or
13 by both such fine and imprisonment.

14 (b) **Civil Penalties.** Any person who intentionally or negligently violates ~~any City~~
15 ~~conflict of interest or governmental ethics law~~ this Chapter 2 shall be liable in a civil action brought
16 by the City Attorney for an amount up to \$5,000 for each violation.

17 (c) **Injunctive Relief.** The City Attorney or any San Francisco resident may bring a
18 civil action on behalf of the people of San Francisco to enjoin violations of or compel
19 compliance with ~~a conflict of interest or governmental ethics law~~ this Chapter 2.

20 (1) No resident may commence a civil action under this Section 3.242 without
21 first notifying the City Attorney in writing of the intent to file a civil action under this
22 Section 3.242. If the City Attorney fails to notify the resident within 120 days of receipt
23 of the notice that the City Attorney has filed or will file a civil action, the complainant
24 may file the action. No resident may file an action under this Section 3.242 if the City
25

1 Attorney responds within 120 days that the City Attorney intends to file an action or has
2 already filed a civil action.

3 (2) No resident may bring an action under this Section 3.242 if the Ethics
4 Commission has issued a finding of probable cause arising out of the same facts, the
5 District Attorney has commenced a criminal action arising out of the same facts, or
6 another resident has filed a civil action under this Section 3.242 arising out of the same
7 facts.

8 (3) A court may award reasonable attorney's fees and costs to any resident who
9 obtains injunctive relief under this Section 3.242.

10 (d) **Administrative Penalties.** Any person who violates ~~any of the City's conflict of~~
11 ~~interest or governmental ethics laws~~ this Chapter 2 shall be liable in an administrative proceeding
12 before the Ethics Commission held pursuant to the Charter. In addition to the administrative
13 penalties set forth in the Charter, the Ethics Commission may issue warning letters to City
14 officers and employees.

15 (e) **Statute of Limitations.** No person may bring a criminal, civil or administrative
16 action under this Section 3.242 against any other person more than four years after the date of
17 the alleged violation.

18
19 **SEC. 3.243. ELECTRONIC FILING OF DISCLOSURES.**

20 The Ethics Commission may require electronic filing of any disclosure required under this
21 Chapter.

22
23 Section 5. The voters hereby re-authorize and re-enact in its entirety Article III,
24 Chapter 3 of the Campaign and Governmental Conduct Code, and add Section 3.303 to
25 Article III, Chapter 3, to read as follows:

1 **SEC. 3.300. ETHICS COMMISSION.**

2 ~~The powers and duties of the Ethics Commission are governed by Charter Sections 15.100, et~~
3 ~~seq., and Appendix C, Sections C3.699-10-C3.699-16.~~

4
5 **SEC. 3.301. MEETINGS TO BE TELEVISED.**

6 ~~The Ethics Commission shall televise its regular and special meetings on San Francisco~~
7 ~~Government Television (SFGovTV). The Ethics Commission shall not be required to televise the~~
8 ~~portions of its meetings that are held in closed session or otherwise required to be confidential.~~

9
10 **SEC. 3.302. PUBLIC GUIDE FOR CONTRIBUTORS.**

11 ~~The Ethics Commission shall prepare and distribute a public guide regarding campaign~~
12 ~~contributions. The guide shall include a summary of local law regarding contribution limits, required~~
13 ~~reporting by contributors and committees, and rules regarding who may contribute to committees. The~~
14 ~~guide shall be for informational purposes only, and shall not have the force or effect of law or~~
15 ~~regulation.~~

16
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19 seq., and Appendix C, Sections C3.699-10-C3.699-16.

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3 *contributions. The guide shall include a summary of local law regarding contribution limits, required*
4 *reporting by contributors and committees, and rules regarding who may contribute to committees. The*
5 *guide shall be for informational purposes only, and shall not have the force or effect of law or*
6 *regulation.*

7
8 **SEC. 3.303. AMENDMENT OR REPEAL OF THIS CHAPTER.**

9 *The voters may amend or repeal this Chapter 3. The Board of Supervisors may amend this*
10 *Chapter 3 if all of the following conditions are met:*

11 *(a) The amendment furthers the purposes of this Chapter;*

12 *(b) The Ethics Commission approves the proposed amendment in advance by at least a four-*
13 *fifths vote of all its members;*

14 *(c) The proposed amendment is available for public review at least 30 days before the*
15 *amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;*

16 *and*

17 *(d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of*
18 *all its members.*

19
20 Section 6. The voters hereby re-authorize and re-enact in its entirety Article III,
21 Chapter 4 of the Campaign and Governmental Conduct Code, in the process rewording
22 subsection (b) of Section 3.415, deleting former Section 3.420, and adding new Sections
23 3.403 and 3.420, to read as follows:

24 **SEC. 3.400A. FINDINGS.**

1 ~~The Board of Supervisors finds that bringing greater transparency to the City and County's~~
2 ~~permitting process is essential to protect public confidence in the fairness and impartiality of that~~
3 ~~process. It is the purpose and intent of this Chapter 4 to impose reasonable disclosure requirements on~~
4 ~~permit consultants to provide the public with information about who is paying the consultants, the~~
5 ~~permits they are getting paid to obtain, the City employees with whom they have had contact in the~~
6 ~~course of obtaining the permits, and the political contributions they have made to City officials.~~

7
8 **~~SEC. 3.400. PERMIT APPLICATION PROCESSING.~~**

9 ~~(a) EQUAL TREATMENT OF PERMIT APPLICANTS. It shall be the policy of the Department~~
10 ~~of Building Inspection, the Planning Department, the Department of Public Works and the officers and~~
11 ~~employees of such departments to treat all permit applicants the same regardless of the relationship of~~
12 ~~the applicant and/or the applicant's representatives to any officer or employee of the City and County~~
13 ~~and regardless of whether the applicant hires a permit consultant to provide permit consulting services.~~
14 ~~Intentional preferential treatment of any permit applicant and/or the applicant's representatives by any~~
15 ~~officer or employee of the Department of Building Inspection, the Planning Department, or the~~
16 ~~Department of Public Works shall subject the officer or employee to disciplinary action for official~~
17 ~~misconduct.~~

18 ~~(b) APPLICATION PRIORITY. It shall be the policy of the Department of Building~~
19 ~~Inspection, the Planning Department, the Department of Public Works and the officers and employees~~
20 ~~of such departments to review, consider, and process all applications, revisions, corrections and other~~
21 ~~permit-related material in the order in which that type of material is received unless there is a written~~
22 ~~finding of a public policy basis for not doing so, such as the involvement of public funds in the project~~
23 ~~for which the permit is sought, or the response to a delay caused by an earlier procedural error in~~
24 ~~processing the permit or another permit for the same project. Absent such a finding, any officer or~~
25 ~~employee of the Department of Building Inspection, the Planning Department, or the Department of~~

1 ~~Public Works who intentionally fails to review, consider and process all applications, revisions,~~
2 ~~corrections and other permit related material in the order in which that type of material is received~~
3 ~~shall be subject to disciplinary action for official misconduct. The Department of Building Inspection,~~
4 ~~the Planning Department, and the Department of Public Works shall each adopt written guidelines for~~
5 ~~determining when there is a public policy basis for processing permit material out of order. For~~
6 ~~purposes of this section, and any corresponding written guidelines, expediting of work consisting~~
7 ~~primarily of disability access improvements for real property shall qualify as a public policy basis for~~
8 ~~processing permit material out of order, on a priority basis.~~

9 ~~(c) **PERMIT PROCESSING CODE OF CONDUCT.** No later than 60 days after the effective~~
10 ~~date of this Article, the Ethics Commission shall adopt a code of conduct for permit processing (the~~
11 ~~"Permit Processing Code of Conduct") containing ethical guidelines for permit applicants, permit~~
12 ~~consultants, and officers and employees of the Department of Building Inspection, the Planning~~
13 ~~Department, the and Department of Public Works. The Permit Processing Code of Conduct shall be~~
14 ~~posted in a conspicuous place in each department, and a copy shall be distributed to each officer of the~~
15 ~~City and County who makes or participates in making decisions related to permit applications.~~

16 17 **SEC. 3.400A. FINDINGS.**

18 The Board of Supervisors finds that bringing greater transparency to the City and County's
19 permitting process is essential to protect public confidence in the fairness and impartiality of that
20 process. It is the purpose and intent of this Chapter 4 to impose reasonable disclosure requirements on
21 permit consultants to provide the public with information about who is paying the consultants, the
22 permits they are getting paid to obtain, the City employees with whom they have had contact in the
23 course of obtaining the permits, and the political contributions they have made to City officials.

24 25 **SEC. 3.400. PERMIT APPLICATION PROCESSING.**

1 (a) **EQUAL TREATMENT OF PERMIT APPLICANTS.** It shall be the policy of the Department
2 of Building Inspection, the Planning Department, the Department of Public Works and the officers and
3 employees of such departments to treat all permit applicants the same regardless of the relationship of
4 the applicant and/or the applicant's representatives to any officer or employee of the City and County
5 and regardless of whether the applicant hires a permit consultant to provide permit consulting services.
6 Intentional preferential treatment of any permit applicant and/or the applicant's representatives by any
7 officer or employee of the Department of Building Inspection, the Planning Department, or the
8 Department of Public Works shall subject the officer or employee to disciplinary action for official
9 misconduct.

10 (b) **APPLICATION PRIORITY.** It shall be the policy of the Department of Building
11 Inspection, the Planning Department, the Department of Public Works and the officers and employees
12 of such departments to review, consider, and process all applications, revisions, corrections and other
13 permit-related material in the order in which that type of material is received unless there is a written
14 finding of a public policy basis for not doing so, such as the involvement of public funds in the project
15 for which the permit is sought, or the response to a delay caused by an earlier procedural error in
16 processing the permit or another permit for the same project. Absent such a finding, any officer or
17 employee of the Department of Building Inspection, the Planning Department, or the Department of
18 Public Works who intentionally fails to review, consider and process all applications, revisions,
19 corrections and other permit-related material in the order in which that type of material is received
20 shall be subject to disciplinary action for official misconduct. The Department of Building Inspection,
21 the Planning Department, and the Department of Public Works shall each adopt written guidelines for
22 determining when there is a public policy basis for processing permit material out of order. For
23 purposes of this section, and any corresponding written guidelines, expediting of work consisting
24 primarily of disability access improvements for real property shall qualify as a public policy basis for
25 processing permit material out of order, on a priority basis.

1 (c) **PERMIT PROCESSING CODE OF CONDUCT.** No later than 60 days after the effective
2 date of this Article, the Ethics Commission shall adopt a code of conduct for permit processing (the
3 "Permit Processing Code of Conduct") containing ethical guidelines for permit applicants, permit
4 consultants, and officers and employees of the Department of Building Inspection, the Planning
5 Department, the and Department of Public Works. The Permit Processing Code of Conduct shall be
6 posted in a conspicuous place in each department, and a copy shall be distributed to each officer of the
7 City and County who makes or participates in making decisions related to permit applications.

8
9 **SEC. 3.403. AMENDMENT OR REPEAL OF THIS CHAPTER.**

10 The voters may amend or repeal this Chapter 4. The Board of Supervisors may amend this
11 Chapter 4 if all of the following conditions are met:

12 (a) The amendment furthers the purposes of this Chapter;

13 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
14 fifths vote of all its members;

15 (c) The proposed amendment is available for public review at least 30 days before the
16 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;
17 and

18 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
19 all its members.

20
21 **SEC. 3.405. DEFINITIONS.**

22 "Client" means the person for whom permit consulting services are performed by a permit
23 consultant.

1 ~~"Contact" means any communication, oral or written, including communication made through~~
2 ~~an agent, associate or employee. A "contact" shall not include a request for information, as long as the~~
3 ~~request does not include any attempt to influence an administrative or legislative decision.~~

4 ~~"Major project" means any project located in the City and County which has actual or~~
5 ~~estimated construction costs exceeding \$1,000,000 and which requires a permit issued by the~~
6 ~~Department of Building Inspection or the Planning Department. Estimated construction costs shall be~~
7 ~~calculated in the same manner used to determine building permit fees under the Building Code.~~

8 ~~"Minor Project" means any project located in the City and County which requires a permit~~
9 ~~issued by the Entertainment Commission.~~

10 ~~"Permit consultant" is any individual who receives or is promised compensation to provide~~
11 ~~permit consulting services to commence on or after January 1, 2015 on a Major Project or a Minor~~
12 ~~Project. This includes any employee who receives compensation attributable to time spent on permit~~
13 ~~consulting services. This does not include:~~

14 ~~(1) The licensed architect or engineer of record for construction activity allowed or~~
15 ~~contemplated by the permit, or an employee of the architect or engineer;~~

16 ~~(2) The contractor who will be responsible for all construction activity associated with~~
17 ~~the requested permit; or~~

18 ~~(3) The employee or agent of an organization with tax exempt status under 26 United~~
19 ~~States Code Section 501(c)(3) communicating on behalf of that organization regarding the development~~
20 ~~of a project for that organization.~~

21 ~~"Permit consulting services" means any contact with the Department of Building Inspection, the~~
22 ~~Entertainment Commission, the Planning Department, or the Department of Public Works to help a~~
23 ~~permit applicant obtain a permit.~~

24
25 **~~SEC. 3.410. PERMIT CONSULTANT REGISTRATION AND DISCLOSURES.~~**

1 ~~(a) **REGISTRATION OF PERMIT CONSULTANTS REQUIRED.** Permit consultants shall~~
2 ~~register with the Ethics Commission and comply with the disclosure requirements imposed by this~~
3 ~~Chapter. Such registration shall occur no later than five business days after providing permit~~
4 ~~consulting services, but the permit consultant shall register prior to providing any further permit~~
5 ~~consulting services.~~

6 ~~(b) **REGISTRATION.** At the time of initial registration each permit consultant shall report to~~
7 ~~the Ethics Commission the following information:~~

8 ~~(1) The name, business address, e-mail address, and business telephone number of the~~
9 ~~permit consultant;~~

10 ~~(2) The name, business address, e-mail address, and business telephone number of each~~
11 ~~client for whom the permit consultant is performing permit consulting services;~~

12 ~~(3) The name, business address, e-mail address, and business telephone number of the~~
13 ~~permit consultant's employer, firm or business affiliation; and~~

14 ~~(4) Any other information required by the Ethics Commission consistent with the~~
15 ~~purposes and provisions of this Chapter.~~

16 ~~(c) **PERMIT CONSULTANT DISCLOSURES.** Beginning on April 15, 2015, each permit~~
17 ~~consultant shall file four quarterly reports, according to the following schedule: the permit consultant~~
18 ~~shall file a report on April 15 for the period starting January 1 and ending March 31; on July 15 for~~
19 ~~the period starting April 1 and ending June 30; on October 15 for the period starting July 1 and ending~~
20 ~~September 30; and on January 15 for the period starting October 1 and ending December 31. Each~~
21 ~~quarterly report shall contain the following:~~

22 ~~(1) The name, business address, e-mail address, and business telephone number of each~~
23 ~~person from whom the permit consultant or the permit consultant's employer received or expected to~~
24 ~~receive economic consideration for permit consulting services during the reporting period, and the~~
25 ~~amount of economic consideration the permit consultant received or expected to receive;~~

1 ~~(2) For each contact with the Department of Building Inspection, the Entertainment~~
2 ~~Commission, the Planning Department, or the Department of Public Works in the course of providing~~
3 ~~permit consulting services during the reporting period:~~

4 ~~(A) The name of each officer or employee of the City and County of San~~
5 ~~Francisco with whom the permit consultant made contact;~~

6 ~~(B) A description of the permit sought or obtained, including the application~~
7 ~~number for the permit; and~~

8 ~~(C) The client on whose behalf the contact was made.~~

9 ~~(3) All political contributions of \$100 or more made by the permit consultant or the~~
10 ~~permit consultant's employer during the reporting period to an officer of the City and County, a~~
11 ~~candidate for such office, a committee controlled by such officer or candidate, a committee primarily~~
12 ~~formed to support or oppose such officer or candidate, or any committee primarily formed to support~~
13 ~~or oppose a ballot measure to be voted on only in San Francisco.~~

14 ~~(4) Any amendments to the permit consultant's registration information required by~~
15 ~~Subsection (b).~~

16 ~~(5) Any other information required by the Ethics Commission consistent with the~~
17 ~~purposes and provisions of this Chapter.~~

18
19 **~~SEC. 3.415. PENALTIES AND ENFORCEMENT.~~**

20 ~~(a) If any permit consultant fails to submit any information required by this Chapter after any~~
21 ~~applicable deadline, the Ethics Commission shall, in addition to any other penalties or remedies~~
22 ~~established in this Chapter, impose a late filing fee of \$50 per day after the deadline until the~~
23 ~~information is received by the Ethics Commission. The Executive Director of the Ethics Commission~~
24 ~~may reduce or waive a late filing fee if the Executive Director determines that the late filing was not~~
25 ~~willful and that enforcement will not further the purposes of this Chapter. The Ethics Commission shall~~

1 ~~deposit funds collected under this Section in the General Fund of the City and County of San~~
2 ~~Francisco.~~

3 ~~(b) Any person who knowingly or negligently violates this Chapter may be liable in an~~
4 ~~administrative proceeding before the Ethics Commission pursuant to Charter Section C3.699-13. In~~
5 ~~addition to the administrative penalties set forth in the Charter, the Ethics Commission may issue~~
6 ~~warning letters regarding potential violations of this Chapter to the permit consultant.~~

7 ~~(c) Any person or entity which knowingly or negligently violates this Chapter may be liable in a~~
8 ~~civil action brought by the City Attorney for an amount up to \$5,000 per violation.~~

9
10 **SEC. 3.420. ETHICS COMMISSION REPORT.**

11 ~~Between April 1 and April 15, 2016 and between April 1 and April 15, 2017, the Ethics~~
12 ~~Commission shall provide a report to the Board of Supervisors regarding the implementation of~~
13 ~~Sections 3.405 through 3.415. The report shall include, but not be limited to, the total number of~~
14 ~~registered permit consultants, the total number of investigations commenced by the Ethics Commission~~
15 ~~into possible violations of the registration and disclosure requirements, and a summary of each~~
16 ~~settlement reached with permit consultants for violating the registration or disclosure requirements.~~

17
18 **SEC. 3.405. DEFINITIONS.**

19 "Client" means the person for whom permit consulting services are performed by a permit
20 consultant.

21 "Contact" means any communication, oral or written, including communication made through
22 an agent, associate or employee. A "contact" shall not include a request for information, as long as the
23 request does not include any attempt to influence an administrative or legislative decision.

24 "Major project" means any project located in the City and County which has actual or
25 estimated construction costs exceeding \$1,000,000 and which requires a permit issued by the

1 Department of Building Inspection or the Planning Department. Estimated construction costs shall be
2 calculated in the same manner used to determine building permit fees under the Building Code.

3 "Minor Project" means any project located in the City and County which requires a permit
4 issued by the Entertainment Commission.

5 "Permit consultant" is any individual who receives or is promised compensation to provide
6 permit consulting services to commence on or after January 1, 2015 on a Major Project or a Minor
7 Project. This includes any employee who receives compensation attributable to time spent on permit
8 consulting services. This does not include:

9 (1) The licensed architect or engineer of record for construction activity allowed or
10 contemplated by the permit, or an employee of the architect or engineer;

11 (2) The contractor who will be responsible for all construction activity associated with
12 the requested permit; or

13 (3) The employee or agent of an organization with tax exempt status under 26 United
14 States Code Section 501(c)(3) communicating on behalf of that organization regarding the development
15 of a project for that organization.

16 "Permit consulting services" means any contact with the Department of Building Inspection, the
17 Entertainment Commission, the Planning Department, or the Department of Public Works to help a
18 permit applicant obtain a permit.

19
20 **SEC. 3.410. PERMIT CONSULTANT REGISTRATION AND DISCLOSURES.**

21 **(a) REGISTRATION OF PERMIT CONSULTANTS REQUIRED.** Permit consultants shall
22 register with the Ethics Commission and comply with the disclosure requirements imposed by this
23 Chapter. Such registration shall occur no later than five business days after providing permit
24 consulting services, but the permit consultant shall register prior to providing any further permit
25 consulting services.

1 **(b) REGISTRATION.** *At the time of initial registration each permit consultant shall report to*
2 *the Ethics Commission the following information:*

3 **(1) The name, business address, e-mail address, and business telephone number of the**
4 **permit consultant;**

5 **(2) The name, business address, e-mail address, and business telephone number of each**
6 **client for whom the permit consultant is performing permit consulting services;**

7 **(3) The name, business address, e-mail address, and business telephone number of the**
8 **permit consultant's employer, firm or business affiliation; and**

9 **(4) Any other information required by the Ethics Commission consistent with the**
10 **purposes and provisions of this Chapter.**

11 **(c) PERMIT CONSULTANT DISCLOSURES.** *Beginning on April 15, 2015, each permit*
12 *consultant shall file four quarterly reports, according to the following schedule: the permit consultant*
13 *shall file a report on April 15 for the period starting January 1 and ending March 31; on July 15 for*
14 *the period starting April 1 and ending June 30; on October 15 for the period starting July 1 and ending*
15 *September 30; and on January 15 for the period starting October 1 and ending December 31. Each*
16 *quarterly report shall contain the following:*

17 **(1) The name, business address, e-mail address, and business telephone number of each**
18 **person from whom the permit consultant or the permit consultant's employer received or expected to**
19 **receive economic consideration for permit consulting services during the reporting period, and the**
20 **amount of economic consideration the permit consultant received or expected to receive;**

21 **(2) For each contact with the Department of Building Inspection, the Entertainment**
22 **Commission, the Planning Department, or the Department of Public Works in the course of providing**
23 **permit consulting services during the reporting period:**

24 **(A) The name of each officer or employee of the City and County of San**
25 **Francisco with whom the permit consultant made contact;**

1 (B) A description of the permit sought or obtained, including the application
2 number for the permit; and

3 (C) The client on whose behalf the contact was made.

4 (3) All political contributions of \$100 or more made by the permit consultant or the
5 permit consultant's employer during the reporting period to an officer of the City and County, a
6 candidate for such office, a committee controlled by such officer or candidate, a committee primarily
7 formed to support or oppose such officer or candidate, or any committee primarily formed to support
8 or oppose a ballot measure to be voted on only in San Francisco.

9 (4) Any amendments to the permit consultant's registration information required by
10 Subsection (b).

11 (5) Any other information required by the Ethics Commission consistent with the
12 purposes and provisions of this Chapter.

13
14 **SEC. 3.415. PENALTIES AND ENFORCEMENT.**

15 (a) If any permit consultant fails to submit any information required by this Chapter after any
16 applicable deadline, the Ethics Commission shall, in addition to any other penalties or remedies
17 established in this Chapter, impose a late filing fee of \$50 per day after the deadline until the
18 information is received by the Ethics Commission. The Executive Director of the Ethics Commission
19 may reduce or waive a late filing fee if the Executive Director determines that the late filing was not
20 willful and that enforcement will not further the purposes of this Chapter. The Ethics Commission shall
21 deposit funds collected under this Section in the General Fund of the City and County of San
22 Francisco.

23 (b) Any person who violates this Chapter may be liable in an administrative proceeding before
24 the Ethics Commission pursuant to Charter Section C3.699-13. In addition to the administrative
25

1 penalties set forth in the Charter, the Ethics Commission may issue warning letters regarding potential
2 violations of this Chapter to the permit consultant.

3 (c) Any person or entity which knowingly or negligently violates this Chapter may be liable in a
4 civil action brought by the City Attorney for an amount up to \$5,000 per violation.

5
6 **SEC. 3.420. ELECTRONIC FILING OF DISCLOSURES.**

7 The Ethics Commission may require electronic filing of any disclosure required under this
8 Chapter 4.

9
10 Section 7. The voters hereby re-authorize and re-enact in its entirety Article III,
11 Chapter 5 of the Campaign and Governmental Conduct Code, in the process rewording
12 subsection (b) of Section 3.530, and add Sections 3.505 and 3.525 to Article III, Chapter 5, to
13 read as follows:

14 **SEC. 3.500. FINDINGS**

15 ~~The Board of Supervisors finds that public disclosure of the donations that developers make to~~
16 ~~nonprofit organizations that may communicate with the City and County regarding major development~~
17 ~~projects is essential to protect public confidence in the fairness and impartiality of City and County~~
18 ~~land use decisions. The Board further finds that disclosure is essential to allow the public to fully and~~
19 ~~fairly evaluate the City and County's land use decisions. It is the purpose and intent of this Chapter to~~
20 ~~impose reasonable disclosure requirements on developers to provide the public with information about~~
21 ~~these donations.~~

22
23 **SEC. 3.500. FINDINGS**

24 The Board of Supervisors finds that public disclosure of the donations that developers make to
25 nonprofit organizations that may communicate with the City and County regarding major development

1 projects is essential to protect public confidence in the fairness and impartiality of City and County
2 land use decisions. The Board further finds that disclosure is essential to allow the public to fully and
3 fairly evaluate the City and County's land use decisions. It is the purpose and intent of this Chapter to
4 impose reasonable disclosure requirements on developers to provide the public with information about
5 these donations.

6
7 **SEC. 3.505. AMENDMENT OR REPEAL OF THIS CHAPTER.**

8 The voters may amend or repeal this Chapter 5. The Board of Supervisors may amend this
9 Chapter 5 if all of the following conditions are met:

- 10 (a) The amendment furthers the purposes of this Chapter;
11 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
12 fifths vote of all its members;
13 (c) The proposed amendment is available for public review at least 30 days before the
14 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;
15 and
16 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
17 all its members.

18
19 **SEC. 3.510. DEFINITIONS.**

20 ~~"Affiliate" shall mean any individual or entity that directly or indirectly controls, is controlled~~
21 ~~by or is under common control with, another entity, and for these purposes "control" means the power~~
22 ~~to direct the affairs or management of another entity, whether by contract, operation of law or~~
23 ~~otherwise.~~

24 ~~"CEQA" shall mean the California Environmental Quality Act (Public Resources Code Section~~
25 ~~21,000 et seq.), the CEQA Guidelines (California Code of Regulations, Title 14, Division 6, Chapter 3,~~

1 ~~Section 15000 et seq.), and Chapter 31 of the San Francisco Administrative Code, as any of them may~~
2 ~~be amended.~~

3 ~~"Developer" shall mean the individual or entity that is the project sponsor responsible for filing~~
4 ~~a completed Environmental Evaluation Application with the Planning Department (or other lead~~
5 ~~agency) under CEQA for a major project. For any project sponsor that is an entity, "Developer" shall~~
6 ~~include all of its constituent individuals or entities that have decision-making authority regarding any~~
7 ~~of the entity's major decisions or actions. By way of example and without limitation, if the project~~
8 ~~sponsor is a limited liability company, each of its members is considered a developer for purposes of~~
9 ~~the requirements of this Chapter, and similarly if the project sponsor is a partnership, each of its~~
10 ~~general partners is considered a developer for purposes of the requirements of this Chapter. If the~~
11 ~~owner or agent that signs and submits the Environmental Evaluation Application will not be~~
12 ~~responsible for obtaining the entitlements or developing the major project, then for purposes of the~~
13 ~~requirements of this Chapter the developer shall be instead the individual or entity that is responsible~~
14 ~~for obtaining the entitlements for the major project.~~

15 ~~"Donation" shall mean any gift of money, property, goods or services.~~

16 ~~"EIR" shall mean an environmental impact report prepared under CEQA. For purposes of this~~
17 ~~Chapter, an EIR shall also include, without limitation, any CEQA determination that the Planning~~
18 ~~Department or Planning Commission (or other appropriate lead agency) makes to allow consideration~~
19 ~~of approval of a major project to proceed under an EIR, a previously certified program EIR, master~~
20 ~~EIR or staged EIR.~~

21 ~~"Entity" shall mean any partnership, corporation (including, but not limited to, any business~~
22 ~~trust or nonprofit corporation), limited liability company, joint stock company, trust, unincorporated~~
23 ~~association, joint venture or any other organization or association. "Entity" shall not include any state~~
24 ~~or local government agency.~~

1 ~~"Major project" shall mean a real estate development project located in the City and County for~~
2 ~~which the City's Planning Commission (or any other local lead agency) has certified an EIR under~~
3 ~~CEQA and which has estimated construction costs exceeding \$1,000,000. As used in the preceding~~
4 ~~sentence, the term "real estate development project" includes any project involving construction of one~~
5 ~~or more new structures or an addition to one or more existing structures, change of use within one or~~
6 ~~more existing structures, or substantial rehabilitation of one or more existing structures, where, in any~~
7 ~~such instance, the structure includes any occupiable floor area, excluding only a residential~~
8 ~~development project with four or fewer dwelling units. Estimated construction costs shall be calculated~~
9 ~~in the same manner used to determine building permit fees under the Building Code.~~

10 ~~"Nonprofit organization" shall mean any corporation formed under California Corporations~~
11 ~~Code Section 5000 et seq. for any public or charitable purpose, or any organization described in 26~~
12 ~~United States Code Section 501(c).~~

13 ~~"Structure" shall have the same meaning as the Planning Code defines such term.~~

14
15 **~~SEC. 3.520. REQUIRED DISCLOSURE.~~**

16 ~~(a) Any developer of a major project shall, within 30 days of the date the Planning Commission~~
17 ~~(or any other local lead agency) certifies the EIR for that project or, for a major project relying on a~~
18 ~~program EIR, within 30 days of the date that the Planning Department, Planning Commission, or any~~
19 ~~other local lead agency adopts a final environmental determination under CEQA, report the following~~
20 ~~information to the Ethics Commission:~~

21 ~~(1) The name, business address, business e-mail address and business telephone~~
22 ~~number of the developer, as well as those of any affiliates that made donations subject to this Chapter.~~

23 ~~(2) The EIR case number and a description of the major project.~~

24 ~~(3) The date the Planning Commission (or other local lead agency) certified the EIR or~~
25 ~~adopted the final environmental determination.~~

1 ~~(4) The name, business address, business e-mail address, business telephone number~~
2 ~~and website of any nonprofit organization: (A) to whom the developer or any affiliate of the developer~~
3 ~~has made cumulative donations of \$5,000 or more since the date one year before the Environmental~~
4 ~~Evaluation Application for the major project was filed; and (B) that with regard to the developer's~~
5 ~~major project, has had one or more contacts with an officer of the City and County or has provided~~
6 ~~public comment at any hearing before any board or commission of the City and County. For the~~
7 ~~purpose of this Subsection 3.520(a)(4), the term "contact" shall have the same meaning as in Section~~
8 ~~2.106 of this Code, except that a "contact" shall also include a person providing oral or written~~
9 ~~testimony that becomes part of the record of a public hearing; and the term "officer of the City and~~
10 ~~County of San Francisco" shall have the same meaning as in Section 2.105 of this Code.~~

11 ~~(5) For each nonprofit organization reported under Subsection (a)(4), the date and~~
12 ~~amount of each donation the developer or affiliate made to the nonprofit during the reporting period.~~

13 ~~(6) Any other information required by the Ethics Commission consistent with the~~
14 ~~purposes and provisions of this Chapter.~~

15 ~~(b) After a developer files a report required by Subsection (a), the developer shall file a total of~~
16 ~~four additional quarterly reports, according to the following schedule: The developer shall file a~~
17 ~~report on April 15 for the period starting January 1 and ending March 31; on July 15 for the period~~
18 ~~starting April 1 and ending June 30; on October 15 for the period starting July 1 and ending September~~
19 ~~30; and on January 15 for the period starting October 1 and ending December 31. Each quarterly~~
20 ~~report shall include:~~

21 ~~(1) The name, business address, business e-mail address, and business telephone~~
22 ~~number of the developer and any affiliates that made donations subject to this Chapter.~~

23 ~~(2) The EIR case number and a description of the major project.~~

24 ~~(3) The date the Planning Commission (or other local lead agency) certified the EIR or~~
25 ~~adopted the final environmental determination.~~

1 ~~(4) The name, business address, business e-mail address, business telephone number~~
2 ~~and website of any nonprofit organization to which the developer has made cumulative donations of~~
3 ~~\$5,000 or more since the date one year before the Environmental Evaluation Application was filed.~~

4 ~~(5) For each nonprofit organization reported under Subsection (b)(4), the date and~~
5 ~~amount of each donation the developer made to the nonprofit during the reporting period.~~

6 ~~(6) Any other information required by the Ethics Commission consistent with the~~
7 ~~purposes and provisions of this Chapter.~~

8 ~~(e) At the time of filing the initial report required by subsection (a), the developer shall pay a~~
9 ~~fee of \$500.~~

10
11 **SEC. 3.510. DEFINITIONS.**

12 "Affiliate" shall mean any individual or entity that directly or indirectly controls, is controlled
13 by or is under common control with, another entity, and for these purposes "control" means the power
14 to direct the affairs or management of another entity, whether by contract, operation of law or
15 otherwise.

16 "CEQA" shall mean the California Environmental Quality Act (Public Resources Code Section
17 21,000 et seq.), the CEQA Guidelines (California Code of Regulations, Title 14, Division 6, Chapter 3,
18 Section 15000 et seq.), and Chapter 31 of the San Francisco Administrative Code, as any of them may
19 be amended.

20 "Developer" shall mean the individual or entity that is the project sponsor responsible for filing
21 a completed Environmental Evaluation Application with the Planning Department (or other lead
22 agency) under CEQA for a major project. For any project sponsor that is an entity, "Developer" shall
23 include all of its constituent individuals or entities that have decision-making authority regarding any
24 of the entity's major decisions or actions. By way of example and without limitation, if the project
25 sponsor is a limited liability company, each of its members is considered a developer for purposes of

1 the requirements of this Chapter, and similarly if the project sponsor is a partnership, each of its
2 general partners is considered a developer for purposes of the requirements of this Chapter. If the
3 owner or agent that signs and submits the Environmental Evaluation Application will not be
4 responsible for obtaining the entitlements or developing the major project, then for purposes of the
5 requirements of this Chapter the developer shall be instead the individual or entity that is responsible
6 for obtaining the entitlements for the major project.

7 "Donation" shall mean any gift of money, property, goods or services.

8 "EIR" shall mean an environmental impact report prepared under CEQA. For purposes of this
9 Chapter, an EIR shall also include, without limitation, any CEQA determination that the Planning
10 Department or Planning Commission (or other appropriate lead agency) makes to allow consideration
11 of approval of a major project to proceed under an EIR, a previously certified program EIR, master
12 EIR or staged EIR.

13 "Entity" shall mean any partnership, corporation (including, but not limited to, any business
14 trust or nonprofit corporation), limited liability company, joint stock company, trust, unincorporated
15 association, joint venture or any other organization or association. "Entity" shall not include any state
16 or local government agency.

17 "Major project" shall mean a real estate development project located in the City and County for
18 which the City's Planning Commission (or any other local lead agency) has certified an EIR under
19 CEQA and which has estimated construction costs exceeding \$1,000,000. As used in the preceding
20 sentence, the term "real estate development project" includes any project involving construction of one
21 or more new structures or an addition to one or more existing structures, change of use within one or
22 more existing structures, or substantial rehabilitation of one or more existing structures, where, in any
23 such instance, the structure includes any occupiable floor area, excluding only a residential
24 development project with four or fewer dwelling units. Estimated construction costs shall be calculated
25 in the same manner used to determine building permit fees under the Building Code.

1 "Nonprofit organization" shall mean any corporation formed under California Corporations
2 Code Section 5000 et seq. for any public or charitable purpose, or any organization described in 26
3 United States Code Section 501(c).

4 "Structure" shall have the same meaning as the Planning Code defines such term.

5
6 **SEC. 3.520. REQUIRED DISCLOSURE.**

7 (a) Any developer of a major project shall, within 30 days of the date the Planning Commission
8 (or any other local lead agency) certifies the EIR for that project or, for a major project relying on a
9 program EIR, within 30 days of the date that the Planning Department, Planning Commission, or any
10 other local lead agency adopts a final environmental determination under CEQA, report the following
11 information to the Ethics Commission:

12 (1) The name, business address, business e-mail address and business telephone
13 number of the developer, as well as those of any affiliates that made donations subject to this Chapter.

14 (2) The EIR case number and a description of the major project.

15 (3) The date the Planning Commission (or other local lead agency) certified the EIR or
16 adopted the final environmental determination.

17 (4) The name, business address, business e-mail address, business telephone number
18 and website of any nonprofit organization: (A) to whom the developer or any affiliate of the developer
19 has made cumulative donations of \$5,000 or more since the date one year before the Environmental
20 Evaluation Application for the major project was filed; and (B) that with regard to the developer's
21 major project, has had one or more contacts with an officer of the City and County or has provided
22 public comment at any hearing before any board or commission of the City and County. For the
23 purpose of this Subsection 3.520(a)(4), the term "contact" shall have the same meaning as in Section
24 2.106 of this Code, except that a "contact" shall also include a person providing oral or written
25

1 testimony that becomes part of the record of a public hearing; and the term "officer of the City and
2 County of San Francisco" shall have the same meaning as in Section 2.105 of this Code.

3 (5) For each nonprofit organization reported under Subsection (a)(4), the date and
4 amount of each donation the developer or affiliate made to the nonprofit during the reporting period.

5 (6) Any other information required by the Ethics Commission consistent with the
6 purposes and provisions of this Chapter.

7 (b) After a developer files a report required by Subsection (a), the developer shall file a total of
8 four additional quarterly reports, according to the following schedule: The developer shall file a
9 report on April 15 for the period starting January 1 and ending March 31; on July 15 for the period
10 starting April 1 and ending June 30; on October 15 for the period starting July 1 and ending September
11 30; and on January 15 for the period starting October 1 and ending December 31. Each quarterly
12 report shall include:

13 (1) The name, business address, business e-mail address, and business telephone
14 number of the developer and any affiliates that made donations subject to this Chapter.

15 (2) The EIR case number and a description of the major project.

16 (3) The date the Planning Commission (or other local lead agency) certified the EIR or
17 adopted the final environmental determination.

18 (4) The name, business address, business e-mail address, business telephone number
19 and website of any nonprofit organization to which the developer has made cumulative donations of
20 \$5,000 or more since the date one year before the Environmental Evaluation Application was filed.

21 (5) For each nonprofit organization reported under Subsection (b)(4), the date and
22 amount of each donation the developer made to the nonprofit during the reporting period.

23 (6) Any other information required by the Ethics Commission consistent with the
24 purposes and provisions of this Chapter.

1 (e) At the time of filing the initial report required by subsection (a), the developer shall pay a
2 fee of \$500.

3
4 **SEC. 3.525. ELECTRONIC FILING OF DISCLOSURES.**

5 The Ethics Commission may require electronic filing of any disclosure required under this
6 Chapter 5.

7
8 **SEC. 3.530. PENALTIES AND ENFORCEMENT.**

9 ~~(a) If any developer fails to submit any information required by this Chapter after any~~
10 ~~applicable deadline, the Ethics Commission shall, in addition to any other penalties or remedies~~
11 ~~established in this Chapter, impose a late filing fee of \$50 per day after the deadline until the~~
12 ~~information is received by the Ethics Commission. The Executive Director of the Ethics Commission~~
13 ~~may reduce or waive a late filing fee if the Executive Director determines that the late filing was not~~
14 ~~willful and that enforcement will not further the purposes of this Chapter. The Ethics Commission shall~~
15 ~~deposit funds collected under this Section in the General Fund of the City and County of San~~
16 ~~Francisco.~~

17 ~~(b) Any person who knowingly or negligently violates this Chapter, including but not limited to,~~
18 ~~by providing inaccurate or incomplete information, may be liable in an administrative proceeding~~
19 ~~before the Ethics Commission pursuant to Charter Section C3.699-13. In addition to the administrative~~
20 ~~penalties set forth in the Charter, the Ethics Commission may issue warning letters regarding potential~~
21 ~~violations of this Chapter.~~

22 ~~(c) Any person or entity which knowingly or negligently violates this Chapter may be liable in a~~
23 ~~civil action brought by the City Attorney for an amount up to \$5,000 per violation, or three times the~~
24 ~~amount not properly reported, whichever is greater.~~

1 ~~(d) In investigating any alleged violation of this Chapter the Ethics Commission and City~~
2 ~~Attorney shall have the power to inspect all documents required to be maintained under this Chapter.~~
3 ~~This power to inspect documents is in addition to other powers conferred on the Ethics Commission~~
4 ~~and City Attorney by the Charter or by ordinance, including the power of subpoena.~~

5 ~~(e) Should two or more persons be responsible for any violation under this Chapter, they may~~
6 ~~be jointly and severally liable.~~

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12 information is received by the Ethics Commission. The Executive Director of the Ethics Commission
13 may reduce or waive a late filing fee if the Executive Director determines that the late filing was not
14 willful and that enforcement will not further the purposes of this Chapter. The Ethics Commission shall
15 deposit funds collected under this Section in the General Fund of the City and County of San
16 Francisco.

17 (b) Any person who violates this Chapter, including but not limited to, by providing inaccurate
18 or incomplete information, may be liable in an administrative proceeding before the Ethics
19 Commission pursuant to Charter Section C3.699-13. In addition to the administrative penalties set
20 forth in the Charter, the Ethics Commission may issue warning letters regarding potential violations of
21 this Chapter.

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23 civil action brought by the City Attorney for an amount up to \$5,000 per violation, or three times the
24 amount not properly reported, whichever is greater.

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2 Attorney shall have the power to inspect all documents required to be maintained under this Chapter.
3 This power to inspect documents is in addition to other powers conferred on the Ethics Commission
4 and City Attorney by the Charter or by ordinance, including the power of subpoena.

5 (e) Should two or more persons be responsible for any violation under this Chapter, they may
6 be jointly and severally liable.

7
8 Section 8. The voters hereby re-authorize and re-enact in its entirety Article IV,
9 Chapter 1 of the Campaign and Governmental Conduct Code, and add Section 4.103 to
10 Article IV, Chapter 1, to read as follows:

11 **SEC. 4.100. FINDINGS.**

12 ~~The City and County of San Francisco ("City") has a paramount interest in protecting the~~
13 ~~integrity of its government institutions. To further this interest, individuals should be encouraged to~~
14 ~~report possible violations of laws, regulations, and rules governing the conduct of City officers and~~
15 ~~employees, City contractors, and employees of City contractors.~~

16 ~~This Chapter 1 fulfills the Charter's requirements for two City programs relating to~~
17 ~~whistleblowers, as required by Charter Appendix Section F1.107. First, as required by the Charter, the~~
18 ~~Office of the Controller has authority to receive and investigate whistleblower complaints concerning~~
19 ~~deficiencies in the quality and delivery of City government services, wasteful and inefficient City~~
20 ~~government practices, misuse of City funds, and improper activities by City officers, employees, and~~
21 ~~contractors.~~

22 ~~Second, as required by the Charter, this ordinance protects the confidentiality of~~
23 ~~whistleblowers, and protects City officers and employees from retaliation for filing whistleblower~~
24 ~~complaints or providing assistance with the investigation of such complaints. As set forth in this~~
25 ~~Chapter 1, the Ethics Commission has primary responsibility for ensuring such protections.~~

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10 deficiencies in the quality and delivery of City government services, wasteful and inefficient City
11 government practices, misuse of City funds, and improper activities by City officers, employees, and
12 contractors.

13 Second, as required by the Charter, this ordinance protects the confidentiality of
14 whistleblowers, and protects City officers and employees from retaliation for filing whistleblower
15 complaints or providing assistance with the investigation of such complaints. As set forth in this
16 Chapter 1, the Ethics Commission has primary responsibility for ensuring such protections.

17
18 **SEC. 4.103. AMENDMENT OR REPEAL OF THIS CHAPTER.**

19 The voters may amend or repeal this Chapter 1. The Board of Supervisors may amend this
20 Chapter 1 if all of the following conditions are met:

- 21 (a) The amendment furthers the purposes of this Chapter;
22 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
23 fifths vote of all its members;
24
25

1 (c) The proposed amendment is available for public review at least 30 days before the
2 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;
3 and

4 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
5 all its members.

6
7 **~~SEC. 4.105. COMPLAINTS; INVESTIGATION PROCEDURES; REFERRAL TO OTHER~~**
8 **~~AGENCIES.~~**

9 ~~(a) COMPLAINTS. Any person may file a complaint for investigation with the Office of the~~
10 ~~Controller's Whistleblower Program, Ethics Commission, District Attorney, City Attorney, or the~~
11 ~~complainant's department alleging that a City officer or employee has engaged in improper~~
12 ~~government activity, misused City funds, caused deficiencies in the quality and delivery of government~~
13 ~~services or engaged in wasteful and inefficient government practices, or that a City contractor or~~
14 ~~employee of a City contractor has engaged in unlawful activity in connection with a City contract.~~

15 ~~(b) ETHICS COMMISSION COMPLAINT PROCEDURES. The Ethics Commission shall~~
16 ~~investigate complaints filed under this Section 4.105 that contain potential violations of local campaign~~
17 ~~finance, lobbying, conflicts of interest, and governmental ethics laws pursuant to the procedures~~
18 ~~specified in Charter Section C3.699-13 and the regulations adopted thereunder. Nothing in this~~
19 ~~subsection (b) shall preclude the Ethics Commission from referring any matter to any other City~~
20 ~~department, commission, board, officer, or employee or to other government agencies for investigation~~
21 ~~and possible disciplinary or enforcement action. The Ethics Commission may require that any City~~
22 ~~department, commission, board, officer, or employee report to the Ethics Commission on the referred~~
23 ~~matter.~~

24 ~~(c) REFERRAL. The Ethics Commission shall refer complaints that do not allege a violation of~~
25 ~~law, regulation or rule that is within the Ethics Commission's jurisdiction to the appropriate agency for~~

1 ~~investigation and possible disciplinary or enforcement action. The Commission may conduct~~
2 ~~preliminary investigations into such complaints to determine whether the complaint contains sufficient~~
3 ~~information to warrant referral. The Ethics Commission may require any City department to provide a~~
4 ~~written report regarding the department's investigation and any action that the department has taken in~~
5 ~~response to the Ethics Commission's referral within a time frame that the Ethics Commission shall~~
6 ~~specify.~~

7
8 **~~SEC. 4.107. COMPLAINTS BY CITIZENS AND EMPLOYEES; WHISTLEBLOWER~~**
9 **~~PROGRAM.~~**

10 ~~(a) WHISTLEBLOWER PROGRAM. The Controller shall administer and publicize a~~
11 ~~whistleblower and citizen complaint program for citizens and employees to report the misuse of City~~
12 ~~funds, improper government activities by City officers and employees, deficiencies in the quality and~~
13 ~~delivery of government services, and wasteful and inefficient City government practices. Subject to~~
14 ~~subsection (b), the Controller shall investigate and otherwise attempt to resolve complaints reported to~~
15 ~~the Whistleblower Program. The Controller shall administer a hotline telephone number and website~~
16 ~~and publicize the hotline and website through press releases, public advertising, and communications~~
17 ~~to City employees.~~

18 ~~(b) REFERRAL OF CERTAIN COMPLAINTS. The Controller shall refer the following~~
19 ~~complaints as set forth in this subsection (b):~~

20 ~~(1) Those which another City agency is required by federal, state, or local law to~~
21 ~~adjudicate. To that agency;~~

22 ~~(2) Those which may be resolved through a grievance mechanism established by~~
23 ~~collective bargaining agreement or contract. To the official or agency designated in the agreement or~~
24 ~~contract;~~

1 ~~(3) Those which involve allegations of conduct which may constitute a violation of~~
2 ~~criminal law: To the District Attorney or other appropriate law enforcement agency;~~

3 ~~(4) Those which are subject to an existing, ongoing investigation by the District~~
4 ~~Attorney, City Attorney, or Ethics Commission, where the applicable official or Commission states in~~
5 ~~writing that investigation by the Controller would substantially impede or delay his, her, or its own~~
6 ~~investigation of the matter: To the investigating office; and~~

7 ~~(5) Those which allege conduct that may constitute a violation of local campaign~~
8 ~~finance, lobbying, conflict of interest, or governmental ethics laws, regulations, or rules: To the Ethics~~
9 ~~Commission and the City Attorney.~~

10 ~~Where the conduct that is the subject of the complaint may violate criminal law and any civil or~~
11 ~~administrative law, statute, ordinance, or regulation, the Controller may take action on the noncriminal~~
12 ~~aspects of the matter under this Section 4.107 even if a referral has been made to another agency under~~
13 ~~this subsection (b).~~

14 ~~If a complaint is referred under this subsection (b), the Controller shall inform the complainant~~
15 ~~of the appropriate procedure for the resolution of the complaint.~~

16 ~~(c) TRACKING AND INVESTIGATION. The Controller shall receive, track, and investigate~~
17 ~~complaints made or referred to the Whistleblower Program. The investigation may include all steps~~
18 ~~that the Controller deems appropriate, including the review of the complaint and any documentary or~~
19 ~~other evidence provided with it, the gathering of any other relevant documents from any City~~
20 ~~department or other source, and interviews of the complainant and other persons with relevant~~
21 ~~information.~~

22 ~~(d) INFORMATION PROVIDED UNDER PENALTY OF PERJURY. In those instances in~~
23 ~~which the Controller deems it appropriate, the Controller may require that persons making complaints~~
24 ~~or providing information swear to the truth of their statements by taking an oath administered by the~~
25

1 ~~Controller, or an agent of the Controller, or through written declarations made under penalty of~~
2 ~~perjury under the laws of the State of California.~~

3 ~~(e) REFERRAL AND RECOMMENDATION BY CONTROLLER. The Controller may refer the~~
4 ~~complaint to a City department for investigation, either before conducting an initial investigation or~~
5 ~~after doing so, and may recommend that a City department take specific action based on the~~
6 ~~Controller's initial investigation. Within 60 days of receiving a complaint for investigation or a~~
7 ~~recommendation by the Controller for specific action, or such other time as the Controller shall~~
8 ~~specify, the City department shall report to the Controller in writing the results of the department's~~
9 ~~investigation and any action that the department has taken in response to a recommendation by the~~
10 ~~Controller that the department take specific action.~~

11 ~~(f) REPORT BY DEPARTMENT AND FURTHER ACTION BY CONTROLLER. If the~~
12 ~~Controller has recommended that a City department take disciplinary or other corrective action that~~
13 ~~the department has declined to take, the department shall report to the Controller its reasons for failing~~
14 ~~to do so within the time frame that the Controller specifies for reporting on its investigation of the~~
15 ~~complaint. If the Controller determines that the department's reasons are inadequate and that further~~
16 ~~investigation may be appropriate, the Controller may refer the matter to the Mayor, City Attorney, or~~
17 ~~District Attorney, or to any officer or agency that has jurisdiction over the matter.~~

18 ~~(g) RESPONSIBILITY OF DEPARTMENTS. The department head shall be responsible for~~
19 ~~compliance by his or her department with these duties. If department staff fail to comply with the duties~~
20 ~~to investigate complaints referred by the Controller and to make the reports required by this Section~~
21 ~~4.107, the Controller shall notify the department head. If the department head fails to take action to~~
22 ~~obtain the department's compliance with these duties, the Controller may refer the matter to the Mayor,~~
23 ~~City Attorney, or District Attorney or to any officer or agency that has jurisdiction over the matter.~~

24
25 **~~SEC. 4.110. DEFINITIONS.~~**

1 ~~For purposes of this Chapter I, the following words and phrases shall have the following~~
2 ~~meanings:~~

3 ~~“City” or “City agency” shall mean the City and County of San Francisco, its departments,~~
4 ~~commissions, task forces, committees, and boards.~~

5 ~~“Complainant’s department” includes the complainant’s supervisor, the executive director or~~
6 ~~highest ranking officer in the complainant’s department, and the board or commission overseeing the~~
7 ~~complainant’s department.~~

8 ~~“Deficiencies in the quality and delivery of government services” shall mean the failure to~~
9 ~~perform a service, when performance is required under any law, regulation or policy, or under a City~~
10 ~~contract or grant.~~

11 ~~“Improper government activity” shall mean violation of any federal, state, or local law,~~
12 ~~regulation, or rule, including but not limited to laws, regulations, or rules governing campaign finance,~~
13 ~~conflicts of interest, or governmental ethics laws; or action which creates a danger to public health or~~
14 ~~safety by the failure of City officers or employees to perform duties required by their positions.~~

15 ~~“Improper government activity” does not include employment actions for which other remedies exist.~~

16 ~~“Misuse of City funds” shall mean any use of City funds for purposes outside of those directed~~
17 ~~by the City.~~

18 ~~“Preliminary investigation” shall be limited to, but need not include all of the following: review~~
19 ~~of the complaint and any documentary evidence provided with the complaint; interview of the~~
20 ~~complainant; interview of the respondent, counsel to respondent and any witnesses who voluntarily~~
21 ~~agree to be interviewed for this purpose; review of any relevant public documents and documents~~
22 ~~provided voluntarily to the Commission.~~

23 ~~“Supervisor” shall mean any individual having the authority, on behalf of the City, to hire,~~
24 ~~transfer, suspend, lay off, recall, promote, discharge, reward, or discipline other employees, or the~~
25 ~~responsibility to routinely direct them, to adjust their grievances, or to effectively recommend such~~

1 ~~action, if, in connection with the foregoing, the exercise of that authority is not merely routine or~~
2 ~~clerical, but requires the use of independent judgment.~~

3 ~~“Unlawful activity” shall mean violations of any federal, state or local law, regulation or rule~~
4 ~~including but not limited to those laws, regulations or rules governing campaign finance, conflicts of~~
5 ~~interest or governmental ethics laws; or actions which create a danger to public health or safety by the~~
6 ~~failure of City officers or employees to perform duties imposed by a City contract.~~

7 ~~“Wasteful and inefficient City government practices” shall mean the expenditure of City funds~~
8 ~~that could be eliminated without harming public health or safety, or reducing the quality of government~~
9 ~~services.~~

11 **~~SEC. 4.115. PROTECTION OF WHISTLEBLOWERS—CITY EMPLOYEES.~~**

12 ~~(a) RETALIATION PROHIBITED. No City officer or employee may terminate, demote,~~
13 ~~suspend, or take other similar adverse employment action against any City officer or employee because~~
14 ~~the officer or employee has in good faith~~

15 ~~(1) filed a complaint as set forth in Section 4.105(a);~~

16 ~~(2) attempted to file a complaint through the procedures set forth in Section 4.105(a)~~
17 ~~but, in good faith, did not file the complaint with the appropriate City department or official; or~~

18 ~~(3) provided any information in connection with or otherwise cooperated with any~~
19 ~~investigation conducted under this Chapter 1.~~

20 ~~(b) COMPLAINTS OF RETALIATION.~~

21 ~~(1) Administrative Complaints. Any City officer or employee, or former City officer or~~
22 ~~employee, who believes he or she has been the subject of retaliation in violation of subsection (a) of this~~
23 ~~Section 4.115 may file a complaint with the Ethics Commission. The complaint must be filed no later~~
24 ~~than two years after the date of the alleged retaliation.~~

1 ~~The Ethics Commission shall investigate complaints of violations of subsection (a) of~~
2 ~~this Section 4.115 pursuant to the procedures specified in Charter Section C3.699-13 and the~~
3 ~~regulations adopted thereunder. The Ethics Commission may decline to investigate complaints~~
4 ~~alleging violations of subsection (a) if it determines that the same or similar allegations are pending~~
5 ~~with or have been finally resolved by another administrative or judicial body. Nothing in this~~
6 ~~subsection (b)(1) shall preclude the Ethics Commission from referring any matter to any other City~~
7 ~~department, commission, board, officer, or employee, or to other government agencies for investigation~~
8 ~~and possible disciplinary or enforcement action. The Ethics Commission may refer matters to the~~
9 ~~Department of Human Resources with a recommendation. The Ethics Commission may require any~~
10 ~~City department to provide a written report regarding the department's investigation and any action~~
11 ~~that the department has taken in response to the Ethics Commission's referral within a time frame that~~
12 ~~the Ethics Commission shall specify.~~

13 ~~(2) **Civil Complaints.** Any City officer or employee who believes he or she has been the~~
14 ~~subject of retaliation in violation of subsection (a) of this Section 4.115 may bring a civil action against~~
15 ~~the City officer or employee who committed the violation. Such action must be filed no later than two~~
16 ~~years after the date of the retaliation.~~

17 ~~(3) **Burden of Establishing Retaliation.** In order to establish under this Section 4.115~~
18 ~~that retaliation occurred, a complainant in a civil action must demonstrate, or the Ethics Commission~~
19 ~~in an administrative proceeding must determine, by a preponderance of the evidence, that the~~
20 ~~complainant's engagement in activity protected under subsection (a) was a substantial motivating~~
21 ~~factor for the adverse employment action. The respondent may rebut this claim if the respondent~~
22 ~~demonstrates by a preponderance of the evidence that he, she, or it would have taken the same~~
23 ~~employment action irrespective of the complainant's participation in protected activity.~~

24 ~~(4) **Duty to Assist with Retaliation Complaints.** Supervisors who receive a complaint~~
25 ~~alleging retaliation under this Chapter 1 must keep the complaint confidential and immediately assist~~

1 ~~the complainant by referring the complainant to the Ethics Commission and documenting the referral~~
2 ~~in writing. Documentation must include the date and time of the referral and that the complaint was~~
3 ~~about retaliation. Supervisors who fail to comply with this subsection (b) are subject to the penalties~~
4 ~~and remedies set forth in subsection (c).~~

5 ~~(c) PENALTIES AND REMEDIES.~~

6 ~~(1) Administrative Penalties. Any City officer or employee who violates subsection (a)~~
7 ~~of this Section 4.115 may be subject to administrative penalties pursuant to Charter Section C3.699-13~~

8 ~~:~~

9 ~~(2) Redress for Retaliatory Employment Action. Following an administrative hearing~~
10 ~~and after making a finding that an adverse employment action has been taken for purposes of~~
11 ~~retaliation, the Ethics Commission may, subject to the Charter's budgetary and civil service provisions,~~
12 ~~recommend the cancellation of the retaliatory termination, demotion, suspension or other adverse~~
13 ~~employment action.~~

14 ~~(3) Discipline by Appointing Authority. Any City officer or employee who violates~~
15 ~~subsections (a) or (b)(4) of this Section 4.115 shall be subject to disciplinary action up to and including~~
16 ~~dismissal by his or her appointing authority. If no disciplinary action is taken by the appointing~~
17 ~~authority, the Ethics Commission may refer the matter to the Civil Service Commission for action~~
18 ~~pursuant to Charter Section A8.341.~~

19 ~~(4) Civil Penalties. Any City officer or employee who violates subsection (a) of this~~
20 ~~Section 4.115 may be personally liable in a civil action authorized under subsection (b)(2) of this~~
21 ~~Section for a civil penalty not to exceed \$10,000.~~

22 ~~(d) RESERVATION OF AUTHORITY.~~

23 ~~(1) Civil Service Commission. Nothing in this Section 4.115 shall interfere with the~~
24 ~~powers granted to the Civil Service Commission by the Charter.~~

1 ~~(2) **Appointing Authority.** Nothing in this Section 4.115 shall interfere with the power~~
2 ~~of an appointing officer, manager, or supervisor to take action with respect to any City officer or~~
3 ~~employee, provided that the appointing officer, manager, or supervisor reasonably believes that such~~
4 ~~action is justified on facts separate and apart from the fact that the officer or employee filed a~~
5 ~~complaint as set forth in Section 4.105(a), attempted to file such a complaint in good faith, or~~
6 ~~cooperated with an investigation of such a complaint.~~

7 ~~(e) **NOTICE OF WHISTLEBLOWER PROTECTIONS.** The Controller shall prepare, and each~~
8 ~~City department shall post a notice of whistleblower protections. The notice shall be posted in a~~
9 ~~location that is conspicuous and accessible to all employees.~~

10 ~~(f) **WHISTLEBLOWER PROTECTION AWARENESS TRAINING.**~~

11 ~~(1) The Controller, in collaboration with the Ethics Commission, shall prepare, and all~~
12 ~~City departments shall distribute, materials to publicize and promote whistleblower protections as part~~
13 ~~of each department's new hire training programs.~~

14 ~~(2) The Ethics Commission, in collaboration with the Controller and Department of~~
15 ~~Human Resources, shall prepare, and all City departments shall distribute, materials to publicize and~~
16 ~~promote supervisors' responsibilities under this Chapter 1. In addition, the Department of Human~~
17 ~~Resources, in collaboration with the Controller and Ethics Commission, shall prepare web-based~~
18 ~~training for supervisors regarding their responsibilities under this Chapter 1, which shall be~~
19 ~~implemented by January 1, 2020. This training must be provided to all City supervisors annually by~~
20 ~~April of each year thereafter.~~

21
22 ~~**SEC. 4.117. PROTECTION OF WHISTLEBLOWERS - CITY CONTRACTORS.**~~

23 ~~(a) **RETALIATION PROHIBITED.** No City officer or employee may take steps to terminate a~~
24 ~~contract with a City contractor; refuse to use a City contractor for contracted services; request that a~~
25 ~~City contractor terminate, demote, or suspend one of its employees; or take other similar adverse~~

1 ~~action against any City contractor or employee of a City contractor because the contractor or the~~
2 ~~contractor's employee:~~

3 ~~(1) filed a complaint with any supervisor within a City agency alleging that a City~~
4 ~~officer or employee engaged in improper government activity, misused City funds, caused deficiencies~~
5 ~~in the quality and delivery of government services, or engaged in wasteful and inefficient government~~
6 ~~practices;~~

7 ~~(2) filed a complaint with any supervisor within a City agency alleging that another~~
8 ~~City contractor, or employee of another City contractor, engaged in unlawful activity, misused City~~
9 ~~funds, caused deficiencies in the quality and delivery of government services or engaged in wasteful~~
10 ~~and inefficient government practices; or~~

11 ~~(3) provided any information in connection with or otherwise cooperated with any~~
12 ~~investigation conducted under this Chapter 1.~~

13 ~~(b) COMPLAINTS OF RETALIATION.~~

14 ~~(1) Administrative Complaints. Any City contractor or employee of a City contractor,~~
15 ~~who believes it, he, or she has been the subject of retaliation in violation of subsection (a) of this~~
16 ~~Section 4.117 may file a complaint with the Ethics Commission. The complaint must be filed no later~~
17 ~~than two years after the date of the alleged retaliation.~~

18 ~~The Ethics Commission shall investigate complaints of violations of subsection (a) of~~
19 ~~this Section 4.117 pursuant to the procedures specified in Charter Section C3.699-13 and the~~
20 ~~regulations adopted thereunder. The Ethics Commission may decline to investigate complaints~~
21 ~~alleging violations of subsection (a) if it determines that the same or similar allegations are pending~~
22 ~~with or have been finally resolved by another administrative or judicial body. Nothing in this~~
23 ~~subsection shall preclude the Ethics Commission from referring any matter to any other City~~
24 ~~department, commission, board, officer, or employee, or to other government agencies for investigation~~
25 ~~and possible disciplinary or enforcement action. The Ethics Commission may refer matters to the~~

1 ~~Department of Human Resources with a recommendation. The Ethics Commission may require any~~
2 ~~City department to provide a written report regarding the department's investigation and any action~~
3 ~~that the department has taken in response to the Ethics Commission's referral, within a time frame that~~
4 ~~the Ethics Commission shall specify.~~

5 ~~(2) **Burden of Establishing Retaliation.** In order to establish that retaliation occurred~~
6 ~~under this Section 4.117, the Ethics Commission in an administrative proceeding must determine, by a~~
7 ~~preponderance of the evidence, that the complainant's engagement in activity protected under~~
8 ~~subsection (a) was a substantial motivating factor for the adverse action. The respondent may rebut~~
9 ~~this claim if it demonstrates by a preponderance of the evidence that it would have taken the same~~
10 ~~adverse action irrespective of the complainant's participation in protected activity.~~

11 ~~(c) **PENALTIES AND REMEDIES.**~~

12 ~~(1) **Administrative Penalties.** Any City officer or employee who violates subsection (a)~~
13 ~~of this Section 4.117 may be subject to administrative penalties pursuant to Charter Section C3.699-13.~~

14 ~~(2) **Redress for Retaliatory Adverse Action.** Following an administrative hearing and~~
15 ~~after making a finding that an adverse action has been taken for purposes of retaliation, the Ethics~~
16 ~~Commission may, subject to the Charter's budgetary and contracting provisions, order the cancellation~~
17 ~~of retaliatory adverse action taken against a City contractor or employee of a City contractor.~~

18 ~~(3) **Discipline by Appointing Authority.** Any City officer or employee who violates~~
19 ~~subsection (a) of this Section 4.117 shall be subject to disciplinary action up to and including dismissal~~
20 ~~by his or her appointing authority. If no disciplinary action is taken by the appointing authority, the~~
21 ~~Ethics Commission may refer the matter to the Civil Service Commission for action pursuant to Charter~~
22 ~~Section A8.341.~~

23 ~~(d) **NOTICE OF WHISTLEBLOWER PROTECTIONS.** The Controller shall prepare, and each~~
24 ~~City department shall post, a notice of the whistleblower protections established by this Section 4.117.~~
25 ~~City contractors shall distribute the notice of protections to all of their employees.~~

1
2 **~~SEC. 4.120. CONFIDENTIALITY.~~**

3 ~~(a) WHISTLEBLOWER IDENTITY. City officers and employees shall treat as confidential the~~
4 ~~identity of any person who files a complaint as set forth in Section 4.105(a). A complainant may~~
5 ~~voluntarily disclose his or her identity.~~

6 ~~(b) COMPLAINTS AND INVESTIGATIONS. City officers and employees shall treat as~~
7 ~~confidential complaints filed under Sections 4.105, 4.115, and 4.117, and related information,~~
8 ~~including but not limited to materials gathered and prepared in the course of investigating such~~
9 ~~complaints, and deliberations regarding such complaints.~~

10 ~~(c) PENALTIES. Except as provided in subsection (d), violations of subsections (a) and (b)~~
11 ~~may be subject to the administrative proceedings and penalties set forth in Charter Section C3.699-13,~~
12 ~~in addition to disciplinary action up to and including dismissal by his or her appointing authority.~~

13 ~~(d) EXCEPTIONS.~~

14 ~~(1) Conduct of Investigations. Nothing in this Section 4.120 shall preclude the~~
15 ~~Controller's Office, Ethics Commission, District Attorney, and City Attorney from disclosing the~~
16 ~~identity of an individual or other information to the extent necessary to conduct its investigation.~~

17 ~~(2) Legal Proceedings. Nothing in this Section 4.120 shall preclude City officers and~~
18 ~~employees from disclosing the identity of an individual or other information relating to a complaint to~~
19 ~~the extent required by the rules governing an administrative or court proceeding.~~

20 ~~(3) Referrals. Nothing in this Section 4.120 shall preclude the Ethics Commission from~~
21 ~~referring any matter to any other City department, commission, board, officer, or employee, or to other~~
22 ~~government agencies, for investigation and possible disciplinary or enforcement action.~~

23
24 **~~SEC. 4.123. CONFIDENTIALITY PROTECTION FOR WHISTLEBLOWER PROGRAM~~**
25 **~~COMPLAINANTS AND INVESTIGATIONS.~~**

1 ~~(a) WHISTLEBLOWER IDENTITY AND INVESTIGATIONS. Every officer and employee of~~
2 ~~the City shall keep confidential:~~

3 ~~(i) The identity of any person who makes a complaint to the Whistleblower Program~~
4 ~~under Section 4.107 of this Chapter, and any information that would lead to the disclosure of the~~
5 ~~person's identity, unless the person who made the complaint provides written authorization for the~~
6 ~~disclosure.~~

7 ~~(ii) Complaints or reports to the Whistleblower Program and information related to the~~
8 ~~investigation of the matter, including drafts, notes, preliminary reports, working papers, records of~~
9 ~~interviews, communications with complainants and witnesses, and any other materials and information~~
10 ~~gathered or prepared in the course of the investigation.~~

11 ~~The protection of confidentiality set forth in this Section applies irrespective of whether~~
12 ~~the information was provided in writing and whether the information was provided or is maintained in~~
13 ~~electronic, digital, paper or any other form or medium.~~

14 ~~(b) INQUIRY REGARDING IDENTITY PROHIBITED. In order to assure effective~~
15 ~~implementation of the provisions of this Section providing confidentiality to whistleblowers, City~~
16 ~~officers and employees may not use any City resources, including work time, to ascertain or attempt to~~
17 ~~ascertain directly or indirectly the identity of any person who has made a complaint to the~~
18 ~~Whistleblower Program, unless such person has provided written authorization for the disclosure.~~
19 ~~Nothing in this Section shall preclude an officer or employee assigned to investigate a complaint under~~
20 ~~this Chapter from ascertaining the identity of a complainant to the extent necessary to conduct the~~
21 ~~investigation.~~

22 ~~(c) EXCEPTIONS. Nothing in this Section shall preclude the Controller from (i) disclosing the~~
23 ~~identity of a person or other information to the extent necessary to conduct a civil or criminal~~
24 ~~investigation or to take any enforcement action, including any action to discipline an employee or take~~
25 ~~remedial action against a contractor, or (ii) releasing information as part of a referral when referring~~

1 ~~any matter to another City department, commission, board, officer or employee, or to other~~
2 ~~governmental agencies, for investigation and possible disciplinary, enforcement or remedial action, or~~
3 ~~(iii) releasing information to the Citizens Audit Review Board so that it may carry out its duty to~~
4 ~~provide advisory input to the Controller on the Whistleblower Program, provided that information is~~
5 ~~prepared so as to protect the confidentiality of persons making complaints and of investigations, or (iv)~~
6 ~~releasing information to inform the public of the nature of the actions taken by the Controller in the~~
7 ~~operation of the Whistleblower Program provided that information is prepared so as to protect the~~
8 ~~confidentiality of persons making complaints and of investigations.~~

9
10 **~~SEC. 4.125. FURNISHING FALSE OR MISLEADING INFORMATION; DUTY TO~~**
11 **~~COOPERATE.~~**

12 ~~(a) FURNISHING FALSE OR MISLEADING INFORMATION PROHIBITED. When making~~
13 ~~or filing a complaint pursuant to this Chapter or participating in an investigation conducted by the~~
14 ~~Controller, Ethics Commission, District Attorney, City Attorney or any other department or~~
15 ~~commission, or any of their agents, as authorized under this Chapter, City officers and employees may~~
16 ~~not knowingly and intentionally furnish false or fraudulent evidence, documents, or information;~~
17 ~~misrepresent any material fact, or conceal any evidence, documents or information for the purpose of~~
18 ~~misleading any officer or employee or any of their agents.~~

19 ~~(b) COOPERATION REQUIRED. All City departments, commissions, boards, officers and~~
20 ~~employees shall cooperate with and provide full and prompt assistance to the Controller, Ethics~~
21 ~~Commission, District Attorney, City Attorney, and all other commissions and departments, and any of~~
22 ~~their agents, in carrying out their duties under this Chapter.~~

23
24 **~~SEC. 4.130. REPORTS TO THE BOARD OF SUPERVISORS.~~**
25

1 ~~The Ethics Commission shall provide an annual report to the Board of Supervisors which shall~~
2 ~~include the following:~~

3 ~~(1) The number of complaints received;~~

4 ~~(2) The type of conduct complained about;~~

5 ~~(3) The number of referrals to the Civil Service Commission, other City departments, or other~~
6 ~~government agencies;~~

7 ~~(4) The number of investigations the Ethics Commission conducted;~~

8 ~~(5) Findings or recommendations on policies or practices resulting from the Ethics~~
9 ~~Commission's investigations;~~

10 ~~(6) The number of disciplinary actions taken by the City as a result of complaints made to the~~
11 ~~Ethics Commission; and~~

12 ~~(7) The number and amount of administrative penalties imposed by the Ethics Commission as a~~
13 ~~result of complaints made to the Commission.~~

14
15 **SEC. 4.135. LIMITATION OF LIABILITY.**

16 ~~In adopting and enforcing this Chapter, the City undertakes to promote the general welfare.~~
17 ~~The City is not assuming, nor is it imposing on its officers and employees, an obligation for breach of~~
18 ~~which it is liable in money damages.~~

19
20 **SEC. 4.105. COMPLAINTS; INVESTIGATION PROCEDURES; REFERRAL TO OTHER**
21 **AGENCIES.**

22 (a) **COMPLAINTS.** Any person may file a complaint for investigation with the Office of the
23 Controller's Whistleblower Program, Ethics Commission, District Attorney, City Attorney, or the
24 complainant's department alleging that a City officer or employee has engaged in improper
25 government activity, misused City funds, caused deficiencies in the quality and delivery of government

1 services or engaged in wasteful and inefficient government practices, or that a City contractor or
2 employee of a City contractor has engaged in unlawful activity in connection with a City contract.

3 (b) **ETHICS COMMISSION COMPLAINT PROCEDURES.** The Ethics Commission shall
4 investigate complaints filed under this Section 4.105 that contain potential violations of local campaign
5 finance, lobbying, conflicts of interest, and governmental ethics laws pursuant to the procedures
6 specified in Charter Section C3.699-13 and the regulations adopted thereunder. Nothing in this
7 subsection (b) shall preclude the Ethics Commission from referring any matter to any other City
8 department, commission, board, officer, or employee or to other government agencies for investigation
9 and possible disciplinary or enforcement action. The Ethics Commission may require that any City
10 department, commission, board, officer, or employee report to the Ethics Commission on the referred
11 matter.

12 (c) **REFERRAL.** The Ethics Commission shall refer complaints that do not allege a violation
13 of law, regulation or rule that is within the Ethics Commission's jurisdiction to the appropriate agency
14 for investigation and possible disciplinary or enforcement action. The Commission may conduct
15 preliminary investigations into such complaints to determine whether the complaint contains sufficient
16 information to warrant referral. The Ethics Commission may require any City department to provide a
17 written report regarding the department's investigation and any action that the department has taken in
18 response to the Ethics Commission's referral within a time-frame that the Ethics Commission shall
19 specify.

20
21 **SEC. 4.107. COMPLAINTS BY CITIZENS AND EMPLOYEES; WHISTLEBLOWER**
22 **PROGRAM.**

23 (a) **WHISTLEBLOWER PROGRAM.** The Controller shall administer and publicize a
24 whistleblower and citizen complaint program for citizens and employees to report the misuse of City
25 funds, improper government activities by City officers and employees, deficiencies in the quality and

1 delivery of government services, and wasteful and inefficient City government practices. Subject to
2 subsection (b), the Controller shall investigate and otherwise attempt to resolve complaints reported to
3 the Whistleblower Program. The Controller shall administer a hotline telephone number and website
4 and publicize the hotline and website through press releases, public advertising, and communications
5 to City employees.

6 **(b) REFERRAL OF CERTAIN COMPLAINTS.** The Controller shall refer the following
7 complaints as set forth in this subsection (b):

8 (1) Those which another City agency is required by federal, state, or local law to
9 adjudicate: To that agency;

10 (2) Those which may be resolved through a grievance mechanism established by
11 collective bargaining agreement or contract: To the official or agency designated in the agreement or
12 contract;

13 (3) Those which involve allegations of conduct which may constitute a violation of
14 criminal law: To the District Attorney or other appropriate law enforcement agency;

15 (4) Those which are subject to an existing, ongoing investigation by the District
16 Attorney, City Attorney, or Ethics Commission, where the applicable official or Commission states in
17 writing that investigation by the Controller would substantially impede or delay his, her, or its own
18 investigation of the matter: To the investigating office; and

19 (5) Those which allege conduct that may constitute a violation of local campaign
20 finance, lobbying, conflict of interest, or governmental ethics laws, regulations, or rules: To the Ethics
21 Commission and the City Attorney.

22 Where the conduct that is the subject of the complaint may violate criminal law and any civil or
23 administrative law, statute, ordinance, or regulation, the Controller may take action on the noncriminal
24 aspects of the matter under this Section 4.107 even if a referral has been made to another agency under
25 this subsection (b).

1 If a complaint is referred under this subsection (b), the Controller shall inform the complainant
2 of the appropriate procedure for the resolution of the complaint.

3 (c) **TRACKING AND INVESTIGATION.** The Controller shall receive, track, and investigate
4 complaints made or referred to the Whistleblower Program. The investigation may include all steps
5 that the Controller deems appropriate, including the review of the complaint and any documentary or
6 other evidence provided with it, the gathering of any other relevant documents from any City
7 department or other source, and interviews of the complainant and other persons with relevant
8 information.

9 (d) **INFORMATION PROVIDED UNDER PENALTY OF PERJURY.** In those instances in
10 which the Controller deems it appropriate, the Controller may require that persons making complaints
11 or providing information swear to the truth of their statements by taking an oath administered by the
12 Controller, or an agent of the Controller, or through written declarations made under penalty of
13 perjury under the laws of the State of California.

14 (e) **REFERRAL AND RECOMMENDATION BY CONTROLLER.** The Controller may refer
15 the complaint to a City department for investigation, either before conducting an initial investigation or
16 after doing so, and may recommend that a City department take specific action based on the
17 Controller's initial investigation. Within 60 days of receiving a complaint for investigation or a
18 recommendation by the Controller for specific action, or such other time as the Controller shall
19 specify, the City department shall report to the Controller in writing the results of the department's
20 investigation and any action that the department has taken in response to a recommendation by the
21 Controller that the department take specific action.

22 (f) **REPORT BY DEPARTMENT AND FURTHER ACTION BY CONTROLLER.** If the
23 Controller has recommended that a City department take disciplinary or other corrective action that
24 the department has declined to take, the department shall report to the Controller its reasons for failing
25 to do so within the time frame that the Controller specifies for reporting on its investigation of the

1 complaint. If the Controller determines that the department's reasons are inadequate and that further
2 investigation may be appropriate, the Controller may refer the matter to the Mayor, City Attorney, or
3 District Attorney, or to any officer or agency that has jurisdiction over the matter.

4 (g) **RESPONSIBILITY OF DEPARTMENTS.** The department head shall be responsible for
5 compliance by his or her department with these duties. If department staff fail to comply with the duties
6 to investigate complaints referred by the Controller and to make the reports required by this Section
7 4.107, the Controller shall notify the department head. If the department head fails to take action to
8 obtain the department's compliance with these duties, the Controller may refer the matter to the Mayor,
9 City Attorney, or District Attorney or to any officer or agency that has jurisdiction over the matter.

11 **SEC. 4.110. DEFINITIONS.**

12 For purposes of this Chapter 1, the following words and phrases shall have the following
13 meanings:

14 "City" or "City agency" shall mean the City and County of San Francisco, its departments,
15 commissions, task forces, committees, and boards.

16 "Complainant's department" includes the complainant's supervisor, the executive director or
17 highest ranking officer in the complainant's department, and the board or commission overseeing the
18 complainant's department.

19 "Deficiencies in the quality and delivery of government services" shall mean the failure to
20 perform a service, when performance is required under any law, regulation or policy, or under a City
21 contract or grant.

22 "Improper government activity" shall mean violation of any federal, state, or local law,
23 regulation, or rule, including but not limited to laws, regulations, or rules governing campaign finance,
24 conflicts of interest, or governmental ethics laws; or action which creates a danger to public health or
25

1 safety by the failure of City officers or employees to perform duties required by their positions.

2 “Improper government activity” does not include employment actions for which other remedies exist.

3 “Misuse of City funds” shall mean any use of City funds for purposes outside of those directed
4 by the City.

5 “Preliminary investigation” shall be limited to, but need not include all of the following: review
6 of the complaint and any documentary evidence provided with the complaint; interview of the
7 complainant; interview of the respondent, counsel to respondent and any witnesses who voluntarily
8 agree to be interviewed for this purpose; review of any relevant public documents and documents
9 provided voluntarily to the Commission.

10 “Supervisor” shall mean any individual having the authority, on behalf of the City, to hire,
11 transfer, suspend, lay off, recall, promote, discharge, reward, or discipline other employees, or the
12 responsibility to routinely direct them, to adjust their grievances, or to effectively recommend such
13 action, if, in connection with the foregoing, the exercise of that authority is not merely routine or
14 clerical, but requires the use of independent judgment.

15 “Unlawful activity” shall mean violations of any federal, state or local law, regulation or rule
16 including but not limited to those laws, regulations or rules governing campaign finance, conflicts of
17 interest or governmental ethics laws; or actions which create a danger to public health or safety by the
18 failure of City officers or employees to perform duties imposed by a City contract.

19 “Wasteful and inefficient City government practices” shall mean the expenditure of City funds
20 that could be eliminated without harming public health or safety, or reducing the quality of government
21 services.

22
23 **SEC. 4.115. PROTECTION OF WHISTLEBLOWERS – CITY EMPLOYEES.**

1 (a) **RETALIATION PROHIBITED.** No City officer or employee may terminate, demote,
2 suspend, or take other similar adverse employment action against any City officer or employee because
3 the officer or employee has in good faith

4 (1) filed a complaint as set forth in Section 4.105(a);

5 (2) attempted to file a complaint through the procedures set forth in Section 4.105(a)
6 but, in good faith, did not file the complaint with the appropriate City department or official; or

7 (3) provided any information in connection with or otherwise cooperated with any
8 investigation conducted under this Chapter 1.

9 (b) **COMPLAINTS OF RETALIATION.**

10 (1) **Administrative Complaints.** Any City officer or employee, or former City officer or
11 employee, who believes he or she has been the subject of retaliation in violation of subsection (a) of this
12 Section 4.115 may file a complaint with the Ethics Commission. The complaint must be filed no later
13 than two years after the date of the alleged retaliation.

14 The Ethics Commission shall investigate complaints of violations of subsection (a) of
15 this Section 4.115 pursuant to the procedures specified in Charter Section C3.699-13 and the
16 regulations adopted thereunder. The Ethics Commission may decline to investigate complaints
17 alleging violations of subsection (a) if it determines that the same or similar allegations are pending
18 with or have been finally resolved by another administrative or judicial body. Nothing in this
19 subsection (b)(1) shall preclude the Ethics Commission from referring any matter to any other City
20 department, commission, board, officer, or employee, or to other government agencies for investigation
21 and possible disciplinary or enforcement action. The Ethics Commission may refer matters to the
22 Department of Human Resources with a recommendation. The Ethics Commission may require any
23 City department to provide a written report regarding the department's investigation and any action
24 that the department has taken in response to the Ethics Commission's referral within a time frame that
25 the Ethics Commission shall specify.

1 (2) **Civil Complaints.** Any City officer or employee who believes he or she has been the
2 subject of retaliation in violation of subsection (a) of this Section 4.115 may bring a civil action against
3 the City officer or employee who committed the violation. Such action must be filed no later than two
4 years after the date of the retaliation.

5 (3) **Burden of Establishing Retaliation.** In order to establish under this Section 4.115
6 that retaliation occurred, a complainant in a civil action must demonstrate, or the Ethics Commission
7 in an administrative proceeding must determine, by a preponderance of the evidence, that the
8 complainant's engagement in activity protected under subsection (a) was a substantial motivating
9 factor for the adverse employment action. The respondent may rebut this claim if the respondent
10 demonstrates by a preponderance of the evidence that he, she, or it would have taken the same
11 employment action irrespective of the complainant's participation in protected activity.

12 (4) **Duty to Assist with Retaliation Complaints.** Supervisors who receive a complaint
13 alleging retaliation under this Chapter 1 must keep the complaint confidential and immediately assist
14 the complainant by referring the complainant to the Ethics Commission and documenting the referral
15 in writing. Documentation must include the date and time of the referral and that the complaint was
16 about retaliation. Supervisors who fail to comply with this subsection (b) are subject to the penalties
17 and remedies set forth in subsection (c).

18 (c) **PENALTIES AND REMEDIES.**

19 (1) **Administrative Penalties.** Any City officer or employee who violates subsection (a)
20 of this Section 4.115 may be subject to administrative penalties pursuant to Charter Section C3.699-13.

21 (2) **Redress for Retaliatory Employment Action.** Following an administrative hearing
22 and after making a finding that an adverse employment action has been taken for purposes of
23 retaliation, the Ethics Commission may, subject to the Charter's budgetary and civil service provisions,
24 recommend the cancellation of the retaliatory termination, demotion, suspension or other adverse
25 employment action.

1 (3) **Discipline by Appointing Authority.** Any City officer or employee who violates
2 subsections (a) or (b)(4) of this Section 4.115 shall be subject to disciplinary action up to and including
3 dismissal by his or her appointing authority. If no disciplinary action is taken by the appointing
4 authority, the Ethics Commission may refer the matter to the Civil Service Commission for action
5 pursuant to Charter Section A8.341.

6 (4) **Civil Penalties.** Any City officer or employee who violates subsection (a) of this
7 Section 4.115 may be personally liable in a civil action authorized under subsection (b)(2) of this
8 Section for a civil penalty not to exceed \$10,000.

9 (d) **RESERVATION OF AUTHORITY.**

10 (1) **Civil Service Commission.** Nothing in this Section 4.115 shall interfere with the
11 powers granted to the Civil Service Commission by the Charter.

12 (2) **Appointing Authority.** Nothing in this Section 4.115 shall interfere with the power
13 of an appointing officer, manager, or supervisor to take action with respect to any City officer or
14 employee, provided that the appointing officer, manager, or supervisor reasonably believes that such
15 action is justified on facts separate and apart from the fact that the officer or employee filed a
16 complaint as set forth in Section 4.105(a), attempted to file such a complaint in good faith, or
17 cooperated with an investigation of such a complaint.

18 (e) **NOTICE OF WHISTLEBLOWER PROTECTIONS.** The Controller shall prepare, and
19 each City department shall post a notice of whistleblower protections. The notice shall be posted in a
20 location that is conspicuous and accessible to all employees.

21 (f) **WHISTLEBLOWER PROTECTION AWARENESS TRAINING.**

22 (1) The Controller, in collaboration with the Ethics Commission, shall prepare, and all
23 City departments shall distribute, materials to publicize and promote whistleblower protections as part
24 of each department's new hire training programs.

1 (2) The Ethics Commission, in collaboration with the Controller and Department of
2 Human Resources, shall prepare, and all City departments shall distribute, materials to publicize and
3 promote supervisors' responsibilities under this Chapter 1. In addition, the Department of Human
4 Resources, in collaboration with the Controller and Ethics Commission, shall prepare web-based
5 training for supervisors regarding their responsibilities under this Chapter 1, which shall be
6 implemented by January 1, 2020. This training must be provided to all City supervisors annually by
7 April of each year thereafter.

8
9 **SEC. 4.117. PROTECTION OF WHISTLEBLOWERS - CITY CONTRACTORS.**

10 (a) RETALIATION PROHIBITED. No City officer or employee may take steps to terminate
11 a contract with a City contractor; refuse to use a City contractor for contracted services; request that a
12 City contractor terminate, demote, or suspend one of its employees; or take other similar adverse
13 action against any City contractor or employee of a City contractor because the contractor or the
14 contractor's employee:

15 (1) filed a complaint with any supervisor within a City agency alleging that a City
16 officer or employee engaged in improper government activity, misused City funds, caused deficiencies
17 in the quality and delivery of government services, or engaged in wasteful and inefficient government
18 practices;

19 (2) filed a complaint with any supervisor within a City agency alleging that another
20 City contractor, or employee of another City contractor, engaged in unlawful activity, misused City
21 funds, caused deficiencies in the quality and delivery of government services or engaged in wasteful
22 and inefficient government practices; or

23 (3) provided any information in connection with or otherwise cooperated with any
24 investigation conducted under this Chapter 1.

25 **(b) COMPLAINTS OF RETALIATION.**

1 (1) **Administrative Complaints.** Any City contractor or employee of a City contractor,
2 who believes it, he, or she has been the subject of retaliation in violation of subsection (a) of this
3 Section 4.117 may file a complaint with the Ethics Commission. The complaint must be filed no later
4 than two years after the date of the alleged retaliation.

5 The Ethics Commission shall investigate complaints of violations of subsection (a) of
6 this Section 4.117 pursuant to the procedures specified in Charter Section C3.699-13 and the
7 regulations adopted thereunder. The Ethics Commission may decline to investigate complaints
8 alleging violations of subsection (a) if it determines that the same or similar allegations are pending
9 with or have been finally resolved by another administrative or judicial body. Nothing in this
10 subsection shall preclude the Ethics Commission from referring any matter to any other City
11 department, commission, board, officer, or employee, or to other government agencies for investigation
12 and possible disciplinary or enforcement action. The Ethics Commission may refer matters to the
13 Department of Human Resources with a recommendation. The Ethics Commission may require any
14 City department to provide a written report regarding the department's investigation and any action
15 that the department has taken in response to the Ethics Commission's referral, within a time frame that
16 the Ethics Commission shall specify.

17 (2) **Burden of Establishing Retaliation.** In order to establish that retaliation occurred
18 under this Section 4.117, the Ethics Commission in an administrative proceeding must determine, by a
19 preponderance of the evidence, that the complainant's engagement in activity protected under
20 subsection (a) was a substantial motivating factor for the adverse action. The respondent may rebut
21 this claim if it demonstrates by a preponderance of the evidence that it would have taken the same
22 adverse action irrespective of the complainant's participation in protected activity.

23 (c) **PENALTIES AND REMEDIES.**

24 (1) **Administrative Penalties.** Any City officer or employee who violates subsection (a)
25 of this Section 4.117 may be subject to administrative penalties pursuant to Charter Section C3.699-13.

1 (2) **Redress for Retaliatory Adverse Action.** Following an administrative hearing and
2 after making a finding that an adverse action has been taken for purposes of retaliation, the Ethics
3 Commission may, subject to the Charter's budgetary and contracting provisions, order the cancellation
4 of retaliatory adverse action taken against a City contractor or employee of a City contractor.

5 (3) **Discipline by Appointing Authority.** Any City officer or employee who violates
6 subsection (a) of this Section 4.117 shall be subject to disciplinary action up to and including dismissal
7 by his or her appointing authority. If no disciplinary action is taken by the appointing authority, the
8 Ethics Commission may refer the matter to the Civil Service Commission for action pursuant to Charter
9 Section A8.341.

10 (d) **NOTICE OF WHISTLEBLOWER PROTECTIONS.** The Controller shall prepare, and
11 each City department shall post, a notice of the whistleblower protections established by this Section
12 4.117. City contractors shall distribute the notice of protections to all of their employees.

13
14 **SEC. 4.120. CONFIDENTIALITY.**

15 (a) **WHISTLEBLOWER IDENTITY.** City officers and employees shall treat as confidential
16 the identity of any person who files a complaint as set forth in Section 4.105(a). A complainant may
17 voluntarily disclose his or her identity.

18 (b) **COMPLAINTS AND INVESTIGATIONS.** City officers and employees shall treat as
19 confidential complaints filed under Sections 4.105, 4.115, and 4.117, and related information,
20 including but not limited to materials gathered and prepared in the course of investigating such
21 complaints, and deliberations regarding such complaints.

22 (c) **PENALTIES.** Except as provided in subsection (d), violations of subsections (a) and (b)
23 may be subject to the administrative proceedings and penalties set forth in Charter Section C3.699-13,
24 in addition to disciplinary action up to and including dismissal by his or her appointing authority.

25 (d) **EXCEPTIONS.**

1 (1) **Conduct of Investigations.** Nothing in this Section 4.120 shall preclude the
2 Controller's Office, Ethics Commission, District Attorney, and City Attorney from disclosing the
3 identity of an individual or other information to the extent necessary to conduct its investigation.

4 (2) **Legal Proceedings.** Nothing in this Section 4.120 shall preclude City officers and
5 employees from disclosing the identity of an individual or other information relating to a complaint to
6 the extent required by the rules governing an administrative or court proceeding.

7 (3) **Referrals.** Nothing in this Section 4.120 shall preclude the Ethics Commission from
8 referring any matter to any other City department, commission, board, officer, or employee, or to other
9 government agencies, for investigation and possible disciplinary or enforcement action.

10
11 **SEC. 4.123. CONFIDENTIALITY PROTECTION FOR WHISTLEBLOWER PROGRAM**
12 **COMPLAINANTS AND INVESTIGATIONS.**

13 (a) **WHISTLEBLOWER IDENTITY AND INVESTIGATIONS.** Every officer and employee
14 of the City shall keep confidential:

15 (1) The identity of any person who makes a complaint to the Whistleblower Program
16 under Section 4.107 of this Chapter, and any information that would lead to the disclosure of the
17 person's identity, unless the person who made the complaint provides written authorization for the
18 disclosure.

19 (2) Complaints or reports to the Whistleblower Program and information related to the
20 investigation of the matter, including drafts, notes, preliminary reports, working papers, records of
21 interviews, communications with complainants and witnesses, and any other materials and information
22 gathered or prepared in the course of the investigation.

23 The protection of confidentiality set forth in this Section applies irrespective of whether
24 the information was provided in writing and whether the information was provided or is maintained in
25 electronic, digital, paper or any other form or medium.

1 **(b) INQUIRY REGARDING IDENTITY PROHIBITED.** In order to assure effective
2 implementation of the provisions of this Section providing confidentiality to whistleblowers, City
3 officers and employees may not use any City resources, including work time, to ascertain or attempt to
4 ascertain directly or indirectly the identity of any person who has made a complaint to the
5 Whistleblower Program, unless such person has provided written authorization for the disclosure.
6 Nothing in this Section shall preclude an officer or employee assigned to investigate a complaint under
7 this Chapter from ascertaining the identity of a complainant to the extent necessary to conduct the
8 investigation.

9 **(c) EXCEPTIONS.** Nothing in this Section shall preclude the Controller from (i) disclosing
10 the identity of a person or other information to the extent necessary to conduct a civil or criminal
11 investigation or to take any enforcement action, including any action to discipline an employee or take
12 remedial action against a contractor, or (ii) releasing information as part of a referral when referring
13 any matter to another City department, commission, board, officer or employee, or to other
14 governmental agencies, for investigation and possible disciplinary, enforcement or remedial action, or
15 (iii) releasing information to the Citizens Audit Review Board so that it may carry out its duty to
16 provide advisory input to the Controller on the Whistleblower Program, provided that information is
17 prepared so as to protect the confidentiality of persons making complaints and of investigations, or (iv)
18 releasing information to inform the public of the nature of the actions taken by the Controller in the
19 operation of the Whistleblower Program provided that information is prepared so as to protect the
20 confidentiality of persons making complaints and of investigations.

21
22 **SEC. 4.125. FURNISHING FALSE OR MISLEADING INFORMATION; DUTY TO**
23 **COOPERATE.**

24 **(a) FURNISHING FALSE OR MISLEADING INFORMATION PROHIBITED.** When
25 making or filing a complaint pursuant to this Chapter or participating in an investigation conducted by

1 the Controller, Ethics Commission, District Attorney, City Attorney or any other department or
2 commission, or any of their agents, as authorized under this Chapter, City officers and employees may
3 not knowingly and intentionally furnish false or fraudulent evidence, documents, or information,
4 misrepresent any material fact, or conceal any evidence, documents or information for the purpose of
5 misleading any officer or employee or any of their agents.

6 (b) **COOPERATION REQUIRED.** All City departments, commissions, boards, officers and
7 employees shall cooperate with and provide full and prompt assistance to the Controller, Ethics
8 Commission, District Attorney, City Attorney, and all other commissions and departments, and any of
9 their agents, in carrying out their duties under this Chapter.

10
11 **SEC. 4.130. REPORTS TO THE BOARD OF SUPERVISORS.**

12 The Ethics Commission shall provide an annual report to the Board of Supervisors which shall
13 include the following:

14 (a) The number of complaints received;

15 (b) The type of conduct complained about;

16 (c) The number of referrals to the Civil Service Commission, other City departments, or other
17 government agencies;

18 (d) The number of investigations the Ethics Commission conducted;

19 (e) Findings or recommendations on policies or practices resulting from the Ethics
20 Commission's investigations;

21 (f) The number of disciplinary actions taken by the City as a result of complaints made to the
22 Ethics Commission; and

23 (g) The number and amount of administrative penalties imposed by the Ethics Commission as a
24 result of complaints made to the Commission.

1 **SEC. 4.135. LIMITATION OF LIABILITY.**

2 In adopting and enforcing this Chapter, the City undertakes to promote the general welfare.

3 The City is not assuming, nor is it imposing on its officers and employees, an obligation for breach of
4 which it is liable in money damages.

5
6 Section 9. Effective and Operative Dates.

7 (a) Effective Date. The effective date of this ordinance shall be ten days after the date
8 the official vote count is declared by the Board of Supervisors.

9 (b) Operative Date. The operative date of this ordinance shall be six months after the
10 effective date of this ordinance.

11
12 Section 10. Scope of Ordinance. In enacting this ordinance, the People of the City
13 and County of San Francisco intend to amend only those words, phrases, paragraphs,
14 subsections, sections, articles, numbers, punctuation marks, charts, diagrams, or any other
15 constituent parts of the Municipal Code that are explicitly shown in this ordinance as additions,
16 deletions, Board amendment additions, and Board amendment deletions in accordance with
17 the "Note" that appears under the official title of the ordinance.

18
19 [need to insert signature block]
20
21
22
23
24
25

Attachment 2



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ETHICS COMMISSION

Draft Regulations to San Francisco Campaign and Governmental Conduct Code – San Francisco Government Ethics Ordinance Section 3.216

Regulation 3.216(b)-2. Definition of “knowingly attempted to influence the officer or employee in any legislative or administrative action”

Except as provided below, “knowingly attempted to influence the officer or employee in any legislative or administrative action,” as used in section 3.20316(b)(1), means the person has contacted or appeared before the employee or officer with an intent to influence a decision of the employee or officer, or the person otherwise has attempted to influence the officer or employee. The phrase “intent to influence” means any communication made for the purpose of supporting, promoting, influencing, modifying, opposing, delaying or advancing a governmental decision. Notwithstanding the foregoing, the following shall not be deemed to be an intent to influence an officer or employee in any legislative or administrative action for the purposes of section 3.216(b)(1): communications that (a) involve only routine requests for information such as a request for publicly available documents; (b) are made as a panelist or speaker at a conference or similar public event for educational purposes or to disseminate research and the subject matter does not pertain to a specific action or proceeding; (c) are made while attending a general informational meeting, seminar, or similar event; (d) are made to the press; (e) involve an action that is solely ministerial, secretarial, manual or clerical; ~~or~~ (f) constitute oral or written public comment that becomes part of the record of a public hearing; (g) are made at a public forum or rally; or (h) are made via petition or social media.

Regulation 3.216(b)-5. Gifts from Restricted Sources—Exemptions

The following are not gifts subject to the ~~ban~~ rules contained in section 3.216(b).

~~(a) Voluntary gifts, other than cash, with an aggregate value of \$25 or less per occasion, provided that no officer or employee may receive gifts from any restricted source under this exception on more than four occasions during a calendar year. For the purpose of this subsection, a gift card or gift certificate is a cash gift.~~

(a) Gifts, other than cash, that constitute routine office courtesies with an aggregate value of \$15 or less per occasion provided to an officer or employee without regard to official status by a restricted source at the restricted source’s place of business at such times that the officer or employee must visit the restricted source’s place of business in order to carry out City duties. Gifts received by any officer or employee under this exception from any single restricted source must not exceed four occasions during a calendar year. Routine office courtesies include bottled water, coffee, small snacks, a pad of paper, and writing instruments. Routine office courtesies do not include alcohol.



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Example: An employee of a department must visit the place of business of a company doing business with the department in order to assess the company's compliance with the laws administered by the department. During the site visit, the employee may accept routine office courtesies that are offered such as coffee, tea, juice, pastry or bagels, as long as their aggregate value does not exceed \$10 per employee for the duration of the visit, provided that the employee has not already accepted such routine office courtesies from the restricted source on four occasions during the calendar year.

~~(b) Voluntary gifts, of food and drink, without regard to value, to be shared in the office among officers and employees.~~

~~(c) Free attendance at a widely attended convention, conference, seminar, or symposium where attendance is appropriate to the official duties of the officer or employee and the donor/organizer of the event provides the free attendance voluntarily unsolicited. A gift is unsolicited if it is not requested and is given freely, without pressure or coercion.~~

(1) "Free attendance" may include waiver of all or part of a conference or other fee, the provision of local transportation, or the provision of food, refreshments, entertainment or instructional material furnished to all attendees as an integral part of the event. "Free attendance" may also include attendance at meet-and-greet or hospitality sessions and meals offered in connection with the convention, conference, seminar, or symposium where networking or discussion opportunities may enable the officer or employee to establish working relationships that may inure to the benefit of the City. The term does not include entertainment collateral to the event.

(2) A "widely attended" event is an event that is open to individuals from throughout a given industry or profession, or an event that is open to individuals who represent a range of persons interested in a given matter.

(3) An officer or employee who attends such an event may not accept an ~~sponsor's~~ event organizer's offer of free attendance at the event for an accompanying individual.

Example: Staff of a City department are invited to attend a conference on best practices in the industry that is organized by a restricted source. The event organizer provides free attendance to the department's staff without the department asking for free attendance. Staff may accept free attendance to the conference. At this conference, staff may accept food, refreshments, entertainment or instructional material furnished to all attendees as an integral part of the event.

~~(d) Voluntary meals from a member of the investment, financial, or banking community provided to officers and employees who are responsible for managing investments or debt obligations on behalf of the City, provided that (i) such meals are necessary to discuss City investments or financial transactions in order to cultivate and maintain working relationships between the City and the investment, financial, or banking community; (ii) management of the City's investments or debt is discussed during the meal; and (iii) the person providing the meal is not negotiating a contract with the department of the officer or employee. For the purpose of this subsection, "investment, financial, or banking community" includes investment managers; firms that market and sell municipal securities in the tax-exempt and taxable~~



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markets including entities that support financing transactions such as bond insurers, rating agencies, credit banks, bond and disclosure counsel, financial advisors, feasibility consultants and trust agents; the custodian bank; and consultants who contract to assist the business of the retirement trust. For the purposes of this subsection, "negotiating a contract" means communicating with the department of the officer or employee regarding a proposal to adopt or change a material term of an existing or prospective contract. A person is "negotiating a contract" from the date that the person or the department makes the proposal until the date of the approval of the contract or the date that the person or the department communicates to the other party that negotiations for the contract have terminated.

(e) Voluntary meals or vessel boardings or vessel trips that do not extend overnight from a member of the maritime industry provided to officers and employees who are responsible for managing the Port's maritime commerce portfolio, provided that (i) such meals or vessel boardings or trips are necessary to cultivate and maintain working relationships between the Port and the maritime industry; (ii) management of the Port's maritime commerce portfolio is discussed during the meal, vessel boarding or trip; and (iii) the person providing the meal, or vessel boarding or trip is not negotiating a contract with the Port at the time of the meal or vessel boarding or trip. For the purposes of this subsection, "maritime industry" means individuals and entities engaged in: cruise and cargo shipping; ship repair; commercial and sport fishing; ferry and excursion operations; harbor services such as pilots, tugboats, barges, water taxis, lay berthing and other ship services; terminal management; stevedoring and longshore labor; facility and ship security. "Managing the Port's maritime commerce portfolio" includes: managing and marketing the Port to the maritime industry; promoting Port maritime facilities to potential and existing customers; ensuring compliance with federal security mandates and providing environmental stewardship; and operating the City's cruise and cargo terminals, ferry terminals, shipyards and dry docks, Fisherman's Wharf and Hyde Street commercial fishing harbors, excursion terminals and harbor service facilities for pilots, tugboats, barges, water taxis, lay berthing and other ship services. For the purposes of this subsection, "negotiating a contract" means communicating with the Port regarding a proposal to adopt or change a material term of an existing or prospective contract. A person is "negotiating a contract" from the date that the person or the Port makes the proposal until the date of the approval of the contract or the date that the person or the Port communicates to the other party that negotiations for the contract have terminated.

(f) Voluntary meals from a member of the aviation industry provided to officers and employees who are responsible for managing and marketing the Airport to the aviation industry, provided that (i) such meals are necessary to cultivate and maintain working relationships between the Airport and aviation industry representatives; (ii) the aviation industry's business relationship with the Airport is discussed during the meal; and (iii) the person providing the meal is not, at the time of the meal, negotiating contract benefits on terms that the Airport does not otherwise offer to all similarly situated airlines currently under contract with the Airport. For the purposes of this subsection, "aviation industry" means individuals and entities engaged in: air cargo shipping; general and business aviation and commercial airlines; air tourism; airline service related associations and agencies; joint marketing programs with non-competitive airports to enhance air service to the public; and facility and airline security. "Managing and marketing the Airport" includes: managing and marketing the Airport to the aviation industry; promoting Airport facilities to potential and existing customers; ensuring compliance with federal



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security mandates and providing environmental stewardship; and operating the Airport's airfield, facilities and terminals. For the purposes of this subsection, "negotiating contract benefits" means communicating with the Airport regarding a proposal to adopt or change a material term of an existing or prospective contract to include commercial benefits that the Airport does not otherwise offer to all similarly situated airlines currently under contract with the Airport. A person is "negotiating contract benefits" from the date that the Airport considers the proposal until the date of the approval of the contract or the date that the Airport communicates to the other party that negotiations for the contract benefits have terminated.

(g) Items of any value received by a City employee or officer in a random drawing associated with participation in the City's Annual Joint Fundraising Drive under Administrative Code Chapter 16, Article V (also known as Combined Charities Fundraising Drive).

Example: An employee donates to the City's Combined Charities Fundraising Drive. The employee's name is entered in a drawing with all other donors, and the employee wins a \$50 gift certificate in the drawing. The gift certificate was provided to the City by a company doing business with the employee's department. Even though the company that provided the gift certificate is a restricted source, the employee may accept the gift as a reward or benefit associated with participation in the fundraising drive.

Example: A restricted source sends five pizzas to a department as a goodwill gesture. Because this is a gift to the office, staff may share the pizza.

Example: A restricted source sends two opening day Giants ballgame tickets to a staff person. The staff person may not accept the tickets because their value exceeds \$25.

Example: A restricted source sends a baseball cap to the department head. The department head may accept the baseball cap because its value is \$25 or less, provided that the department head has not already accepted gifts with a value of \$25 or less from the restricted source on four occasions during the calendar year.

Example: Staff of a department are invited to a morning training event that is sponsored by a restricted source. Staff who attend the session may accept food and beverages that are offered at the event such as coffee, tea, juice, pastry or bagels, because their value do not exceed \$25, provided that such staff has not already accepted such food and beverages from the restricted source on four occasions during the calendar year.

Example: Staff of a City department are invited to attend a forum on best practices in the industry that is sponsored by a restricted source. At this conference, staff may accept food, refreshments, entertainment or instructional material furnished to all attendees as an integral part of the event.

Example: An employee donates to the City's Combined Charities Fundraising Drive. The employee's name is entered in a drawing with all other donors, and the employee wins a \$50 gift certificate in the drawing. The gift certificate was provided to the City by a company doing business with the employee's department. Even though the company that provided the gift certificate is a restricted source, the



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~~employee may accept the gift as a reward or benefit associated with participation in the fundraising drive.~~

(d) Informational material as defined by California Code of Regulations Title 2, regulation 18942.1.

(e) A payment that is not used and that, pursuant to California Code of Regulations Title 2, regulation 18941, is returned, donated, or for which reimbursement is paid.

(f) A payment from: the official's spouse or former spouse; child or step-child; parent; grandparent; grandchild; brother; sister; current or former parent-in-law, brother-in-law, or sister-in-law; nephew; niece; aunt or uncle; including grand nephew, grand niece, grand aunt, or grand uncle, or first cousin including first cousin once removed or the spouse, or former spouse, of any such person other than a former in-law, unless the donor is acting as an agent or intermediary for any person not identified in this paragraph.

(g) A campaign contribution required to be reported under Title 9 of the California Government Code.

(h) Any devise or inheritance.

(i) Payments received under a government agency program or a program established by a bona fide charitable organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code designed to provide disaster relief or food, shelter, or similar assistance to qualified recipients if the payments are available to members of the public without regard to official status.

(j) Admission, where paid admission is required, food, and nominal items provided as part of the paid admission to those attending, to an official where the official makes a speech (as defined in California Code of Regulations Title 2, regulation 18950 (b)(2)), so long as the admission is provided by the person who organizes the event. For purpose of this subdivision, "nominal" means an insignificant item typically purchased in large volume and provided for free as a means of advertisement at events, such as a pen, pencil, mouse pad, rubber duck, stress ball, note pad, or similar item.

(k) Payments for campaign activities as specified in California Code of Regulations Title 2, regulation 18950.3.

(l) A ticket provided to an official and one guest of the official for the admission to a facility, event, show, or performance for an entertainment, amusement, recreational, or similar purpose at which the official performs a ceremonial role on behalf of the official's agency, as defined in California Code of Regulations Title 2, regulation 18942.3, so long as the official's agency complies with the posting provisions set forth in California Code of Regulations Title 2, regulation 18944.1, subdivision (d).

(m) A single ticket provided by a nonprofit organization to a fundraiser event hosted by the nonprofit organization if the ticket is used by an official for whom attendance at the event is necessary to carry out the official's City duties and the official's department complies with the disclosure requirements contained in section 3.217 of the Code. "Nonprofit organization" means an organization with tax exempt status under 26 United States Code Section 501(c)(3). Purposes that are "necessary to carry out the



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official's City duties" may include attending an event to share information with other attendees, to build and maintain relationships with grant recipients or potential grant recipients for purposes of City business, or to show departmental support for City-funded projects, so long as such tasks are part of the official's City duties. The ticket may not be used for employee appreciation or as a reward for public service.

(n) A single ticket to an arts exhibit, performance, athletic event, or sporting event provided by an organization holding the exhibit, performance, or event if the ticket is used by an official for whom attendance at the exhibit or performance is necessary to carry out the official's City duties and the official's department complies with the disclosure requirements contained in section 3.217 of the Code. Purposes that are "necessary to carry out the official's City duties" may include monitoring City-funded or permitted events, or assessing local events to inform future funding or permitting decisions, and ensuring proper use of City facilities, so long as such tasks are part of the official's City duties. Employees of the City's arts and culture departments, as defined in Section 5.100 of the City Charter, shall be allowed to accept a single additional ticket for a guest to accompany them to the event. No ticket provided under this exception to a City official or, for employees of arts and culture departments, a guest, may be given or accepted for employee appreciation or as a reward for public service.

(o) A personalized plaque or trophy valued at less than \$250, limited to one plaque or trophy, per calendar year, per restricted source.

(p) A personalized greeting card, letter, or postcard.

(g) A payment that is provided at a free or discounted rate to members of the general public, without regard to the officer or employee's status as a City official, such as promotional discounts or merchandise (swag bags, buttons, stickers, branded t-shirts, etc.), attendance at community events, food or product samples, product demonstrations.

(r) Branded promotional items of nominal value from a nonprofit organization. "Branded promotional items" can include pens, pencils, mouse pads, mugs, water bottles, calendars, t-shirts, hats, buttons, stickers, or similar items, which are branded with the nonprofit organization's name or logo, or the name or logo of a program or project of the nonprofit organization. "Nonprofit organization" means an organization with tax exempt status under 26 United States Code Section 501(c)(3).

Regulation 3.216(b)-6 – License, permit, or other entitlement for use.

Notwithstanding the definition of "doing business with the department" contained in Article III, Chapter 2, neither an approval nor the application for approval of a license, permit, or other entitlement for use shall be deemed "doing business with the department" if the approval of such item is solely ministerial, secretarial, manual, or clerical. A person seeking, obtaining, or possessing such a license, permit, or other entitlement for use is not a "restricted source" for purposes of section 3.216, solely because of the license, permit, or other entitlement for use.



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Regulation 3.216(c)-1: Gifts from Subordinates

(a) Prohibition on gifts.

(1) For the purposes of section 3.216(c), a City officer or employee may not solicit or accept from a subordinate or employee under their supervision or from any candidate or applicant for a position as a subordinate or employee under their supervision any gift, as defined in subsection (b) of this section.

(2) Gifts permitted under this section remain subject to any other applicable laws and rules, including but not limited to state and local limits on gifts to designated employees (Cal. Gov't Code § 89503; C&GCC § 3.1-101), the City's prohibition on gifts given in exchange for appointments or promotions (C&GCC § 3.208), and the City's prohibition on bribery (C&GCC § 3.216); the City's limits on gifts from restricted sources (C&GCC § 3.216); the City's limits on gifts from lobbyists (C&GCC § 2.115), and any departmental rules on gifts.

(b) Definitions. For purposes of this section, the following definitions shall apply:

(1) Applicant or candidate. An applicant or candidate for a position as a subordinate means any person who has communicated, orally or in writing, to a City officer or employee acting in an official capacity, that the person wants to be considered for the position.

(2) Gift.

(A) Except as provided in (B), a gift is any payment that confers a personal benefit on the recipient to the extent that consideration of equal or greater value is not received and includes a rebate or discount in the price of anything of value unless the rebate or discount is made in the regular course of business to members of the public without regard to official status.

(B) The following, ~~voluntarily given~~ when unsolicited, are not gifts within the meaning of this section.

(i) Gifts, other than cash, with an aggregate value of \$25 or less per occasion, given on occasions on which gifts are traditionally given.

(ii) Gifts, such as food and drink, without regard to value, to be shared in the office among employees.

(iii) Personal hospitality provided at a residence that is of a type and value customarily provided by the employee to personal friends.

(iv) Items given in connection with the receipt of personal hospitality if of a type and value customarily provided by the employee on such occasions.



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~~(v) A gift of any value given in recognition of an occasion of special personal significance.~~

(vi) A gift of any value given in recognition of an occasion that terminates a subordinate relationship.

(vii) Informational material that serves primarily to convey information and which is provided for the purpose of assisting the recipient in the performance of their ~~his or her~~ official duties and may include books, reports, pamphlets, calendars, or periodicals.

(viii) Gifts from an individual's spouse, domestic partner, child, parent, grandparent grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin or the spouse or domestic partner of any such person, provided that a gift from any such person shall be considered a gift if the donor is acting as an agent or intermediary for any person not covered by this paragraph.

~~(viii*)~~ Campaign contributions required to be reported under the Government Code, Title 9, Chapter 4 (commencing with Section 84100) and the Campaign and Governmental Conduct Code, Article I (commencing with Section 1.100).

(ix) Any devise or inheritance.

(x) Personalized plaques and trophies with an individual value of less than two hundred fifty dollars (\$250).

(xi) A gift that, within 30 days of receipt of the gift, the donor either pays for, returns unused, or donates unused to a government or a nonprofit entity exempt from taxation under Section 501(c)(3) of the Internal Revenue Code without being claimed as a charitable contribution for tax purposes.

(xii) A ticket to a fundraiser for an organization exempt from taxation under section 501(c)(3) of the Internal Revenue Code or for a political committee or candidate.

~~(xiv) A gift given directly to members of the immediate family of an officer or employee, provided that the gift is not used or disposed of by the officer or employee or given to the officer or employee by the recipient family member for the officer's or employee's disposition or use at the discretion of the officer or employee. A gift is given directly to a family member of the officer or employee if the family member's name or designation appears in the address or communication tendering or offering the gift and the gift is intended for the family member's use and enjoyment. A gift given to the family member of an officer or employee will be considered a gift to the officer or employee if the officer or employee exercises discretion and control over who will use the gift. If the officer or employee enjoys a direct benefit from a gift to the immediate family of the officer or employee, the full value of the gift will be attributable to the official.~~



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(3) Occasion on which gifts are traditionally given. An occasion on which gifts are traditionally given includes anyis a holiday traditionally associated with gift giving, such as Christmas and Chanukah, as well as birthdays, marriage, birth or adoption of a child, or bereavement following the death of an immediate family member or thanking a person for a kindness or good deed.

~~(4) Occasion of special personal significance. An occasion of special personal significance is any occasion that does not typically occur on a regular basis and that is of personal significance to the recipient of the gift, as opposed to a general holiday or recurring event such as a birthday. Examples of such an event include marriage, birth or adoption of a child, graduation or illness.~~

~~(45)~~ Occasion that terminates a subordinate relationship. An occasion that terminates a subordinate relationship is any event severing the relationship, including but not limited to retirement, transfer, or promotion.

~~(56)~~ Receipt of gift. A gift is received when a person exercises control over the gift.

~~(67)~~ Subordinate employee. An employee is a subordinate employee of any person whose official City responsibilities include directing or evaluating the performance of the employee or any of the employee's supervisors.

(7) Subordinate officer. An officer is a subordinate of (a) any other officer whose position, or a board on which the officer sits, is the appointing authority for the officer in question, and (b) any officer whose position, or a board on which the officer sits, is the appointing authority for the appointing authority for the officer in question.

Example: The City Administrator is the appointing authority for a department head. The department head is therefore a subordinate to the City Administrator. Additionally, because the Mayor is the appointing authority for the City Administrator, the department head is also a subordinate to the Mayor.

(8) Value. The value of a gift is determined by the actual value or where the actual value is unknown, making a reasonable good faith estimate of the fair market value of the item or service, comparing where possible similar items or services.

~~(9) Voluntarily Unsolicited. A gift is given voluntarily unsolicited if it is not requested and is given freely, without pressure or coercion. A contribution to a gift from multiple persons is given voluntarily unsolicited if the recipient of the gift did not request the contribution and it is made in an amount determined by the employee or subordinate. A contribution to a gift from multiple persons will be presumed to have been given voluntarily unsolicited if the request for the donation-contribution is made by an officer or employee other than the recipient and includes a statement that an employee may choose to contribute less or not at all.~~

Attachment 3



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Attachment 3: Chart of Changes Made Through Proposed Ordinance and Regulation Amendments

A. Ordinance Proposed as Ballot Measure

The following table summarizes the provisions contained in the draft ordinance that constitutes the proposed measure included as **Attachment 1**.

Table 1: Summary of Changes to Code Made Through Proposed Ordinance

Section Number	Summary	Details
1.503	Establishes a legislative amendment process limited to amendments approved by a supermajority of both the Ethics Commission and Board of Supervisors.	This chapter, which regulates campaign consultants was created through a ballot measure but provides no mechanism for legislative amendments. This makes it difficult for needed updates or improvements to be made to the chapter to ensure that it continues to be effective. The voters' power to change the chapter would not be affected.
2.115(a)	Relocates lobbyist gift rule.	The lobbyist gift rule would be deleted from section 2.115(a) and added to section 3.216(b).
2.135	Adds a provision that allows the Commission to require electronic filing of public disclosures.	This chapter, which regulates lobbyists, does not currently contain explicit language stating that the Commission may require disclosures be made electronically.
2.145	Removes required mental states of "knowingly or negligently" from penalty provision.	This chapter, which regulates lobbyists, attaches a prerequisite mental state to violations in order for those violations to result in administrative penalties. This standard is a departure from how administrative penalties are applied in other chapters: administrative penalties are typically applied on a strict liability basis in other chapters.
2.100 <i>et seq.</i>	Re-authorizes chapter in order to effectuate amendment provision.	This chapter already contains a provision (2.103) that requires legislative amendments to be approved by a supermajority of both the Board of Supervisors and the Ethics Commission, an important safeguard to protect ethics laws. But, it is not clear that the provision applies to all of the lobbyist chapter. The chapter would be re-authorized by the draft measure to ensure that the legislative amendment provision applies to all sections of the chapter. Sections 2.100 and 2.155 have also be slightly

		<p>amended to specify that this ordinance would be passed by the voters, not the Board of Supervisors.</p> <p>The text of the chapter has not been changed except as noted above. This would not affect the power of the voters to amend the chapter in any way.</p>
3.1-102 & 3.1-102.5(c)	Adds a penalty provision.	This chapter, which contains rules regarding the disclosure of personal financial interests, including the requirement that City officers and certain City employees file the Form 700, does not currently mention penalties, even though they can be imposed under the Charter. The absence of a penalty provision has the potential to mislead Form 700 filers into thinking that there are no penalties for failure to timely report all relevant financial interests or vote without having properly filed.
3.203	Creates definition of <i>affiliate</i> .	This concept mirrors the same terms as it is used in the campaign finance context and is important to apply the rule to gifts from individuals who are doing business with a department through a business entity.
3.203	Amends definition of <i>anything of value</i> .	This concept is the basis for the definition of gift. It should therefore not contain a reference to state or local gift exceptions, as those are applied elsewhere in City law.
3.203	Creates definition of <i>appointed department head</i> .	This concept is used in the new draft rules regarding incompatible activities that involve excessive time demands or would result in regular disqualifications.
3.203	Creates definition of <i>contract</i> .	This concept is one of the bases for what makes a person a restricted source. Currently, “doing business” is only defined in regulations, and the measure would codify a definition of doing business, which includes contracting with the City.
3.203	Creates definition of <i>department head</i> .	This term is used in Art. III, Ch. 2 in the draft rule regarding incompatible activities and the new centralized disclosure of gifts to City departments.
3.203	Creates definition of <i>doing business with the department</i> . Includes licenses, permits, and entitlements for use.	Doing business with a City department is one of two ways in which a person becomes a restricted source. The terms was previously defined only by regulation. In addition to contracting with the City, the definition includes seeking or obtaining a license, permit, or other entitlement for use from the City, when such an item is appealable to or approved by the department head, the department’s board or commission, or the Board of Supervisors. These activities involve approvals with great monetary

		value and should be treated similarly to contracts for purposes of the restricted source rule.
3.203	Creates definition of <i>gift</i> .	The definition mirrors the definition of <i>gift</i> contained in state law, but omits state exceptions, which are largely inappropriate in the context of San Francisco's gift rules. Certain of the state exceptions are applied in the regulations, as described in the subsequent table below.
3.203	Creates definition of <i>license, permit, or other entitlement for use</i> .	This category of City approvals mirrors what is defined in state law as triggering the rule against soliciting contributions (Gov. Code § 84308). It is used in the definition of <i>doing business</i> , an element of <i>restricted source</i> .
3.203	Creates definition of <i>payment</i> .	This term is a feature of the definition of <i>gift</i> and is used in the draft gift rules.
3.203	Expands definition of <i>restricted source</i> .	<p>(a) contains <i>doing business</i>, an existing component of the definition of <i>restricted source</i>.</p> <p>(b) extends the rule to prohibit gifts from a person to an officer if the officer's approval was required for a contract, license, permit, or entitlement for use that constitutes <i>doing business</i> with the City. This ensures that, in situations where a person is doing business with a City department but the business required approval by officers outside of the department (for example, a contract that was approved by the Board of Supervisors), the restricted source rule would still apply to gifts from the person to those officers. This is important since the same risks of pay-to-play and the appearance of corruption exist for such gifts.</p> <p>(c) extends the rule such that a person seeking, obtaining, or possessing a license, permit, or other entitlement for use is a restricted source for any City official that was personally and substantially involved in issuing, extending, amending, or otherwise approving the license, permit, or other entitlement for use for 12 months after the action was taken or final decision was made.</p> <p>(d) extends the rule such that any affiliate of a restricted source is also a restricted source. Affiliates of an entity include its directors, officers, and major shareholders. Without this provision, even if a contracting entity is prohibited from making gifts to</p>

		<p>certain officials, its directors, officers, and owners would still be free to do so.</p> <p>(e) contains <i>attempts to influence</i> an official within the last 12 months, an existing component of the definition of <i>restricted source</i>.</p> <p>(f) relocates the lobbyist gift prohibition from section 2.115(a) to section 3.216(b) to consolidate it with similar rules.</p> <p>(g) would prohibit gifts from registered permit consultants to officials within permit-issuing departments. Like lobbyists, permit consultants are paid to influence the actions of City officials and should therefore be included in the restricted source rule.</p> <p>The definition of <i>restricted source</i> was previously located within section 3.216.</p>
3.203	Creates definition of <i>family member</i> .	This term is used in the rule prohibiting restricted sources from giving gifts to an official's family members and the rule prohibiting officials from soliciting such gifts for family members.
3.205	Extends annual ethics training requirements to all Form 700 filers.	Not all Form 700 filers are currently required to complete an annual training on ethics laws and certify completion of the training to the Ethics Commission. This change will also require every department, board, commission, and agency of the City to annually provide to its officers and employees with a summary of relevant state and local ethics laws to be created by the Ethics Commission.
3.214(b)	Creates a penalty for failure to disclose a personal, professional, or business relationship with persons involved in a government decision.	The Code currently explicitly states that there is no penalty associated with failure to comply with this section. Deleting this language stating that there is no penalty associated with failure to comply would allow for penalties against an official who made a decision involving someone with whom they had a personal, professional, or business relationship and failed to disclose that relationship.
3.214(c)	Specify that the Ethics Commission may issue regulations on how the	Departments should be given guidance on how to store 3.214 disclosures and how to make them available to the public.

	required disclosure must be made and archived.	
3.216(a)	Define “bribe” broadly as “anything of value,” rather than narrowly as a “gift.”	The current bribery rule only prohibits bribes that also meet the definition of <i>gift</i> . This is problematic because the definition of gift is subject to many exceptions, which should not be applied to bribes. Anytime a payment is made with the intent to influence an official act, the payment should be considered a bribe.
3.216(a)	Prohibit bribery in cases where the payment is made to a third party, not the official in question.	The current bribery rule does not explicitly prohibit payments made to third parties, even when those payments are made with the intent to influence a City official.
3.216(a)	Prohibit the solicitation of bribes by City officials.	San Francisco does not currently prohibit the solicitation of bribes. A prohibition on the solicitation of bribes would be consistent with federal law.
3.216(b)(1)-(2)	Relocates definitions of <i>restricted source</i> and <i>gift</i> .	These definitions are moved to section 3.203.
3.216(b)(1)	Prohibits officials from soliciting or accepting a gift from a restricted source for themselves or for others.	(b)(1) contains the existing rule that officials are prohibited from soliciting or accepting a gift from a person they have reason to know is a restricted source. The amendment would additionally prohibit soliciting, accepting, or coordinating a gift to <i>other</i> City officials if the official has reason to know the source of the gift is a restricted source. This would address an observed practice that undermines the effectiveness of the restricted source rule.
3.216(b)(2)	Prohibits officials from accepting a gift from any person if they have reason to know the gift was paid for by a restricted source.	Officials are already prohibited from soliciting or accepting a gift from a person they have reason to know is a restricted source. But, the law fails to specify that officials cannot accept restricted source gifts that are first passed through a third party. If the official has reason to know that a gift originates from a restricted source, the gift should be prohibited. This includes gifts that are passed through City departments.
3.216(b)(3)	Prohibits officials from soliciting or accepting gifts for a family member from a source they have reason to know is a restricted source.	Officials are already prohibited from soliciting or accepting a gift from a person they have reason to know is a restricted source. The amendment would additionally prohibit soliciting or accepting a gift for the official’s family member. This would preclude a potential work around to the rule that creates a danger of pay-to-play.

3.216(b)(4)	Prohibits certain restricted sources from giving gifts to officials.	Currently, in most instances only the solicitation or receipt of a restricted source gift by an official is prohibited. Only for gifts from lobbyists are the lobbyists actually prohibited from <i>giving</i> the gift. The ordinance would additionally prohibit a permit consultant from <i>giving</i> a gift to a City official or the official's family member if the person has reason to know that they are a restricted source for the official. Unlaw gifts will be deterred more effectively if giving them is prohibited. The failure of a lobbyist or permit consultant to register as such would not allow that person to make gifts that would otherwise be prohibited.
3.216(b)(5)	Prohibits restricted sources from passing gifts through an intermediary.	The ordinance would prohibit a lobbyist or permit consultant from making a payment to an intermediary if (a) the lobbyist or permit consultant has reason to know the payment will be used to give a gift to a City official, and (b) the lobbyist or permit consultant has reason to know they are a restricted source for the official. This would prohibit lobbyists and permit consultants (who are restricted sources) from circumventing the restricted source rule by passing gifts through a third party, including a City department.
3.216(b)(6)	Prohibits anyone from acting as an intermediary for a restricted source gift.	The ordinance would prohibit any person from accepting a payment with the understanding that the person will use the payment to give a gift to an official if the person has reason to know that the source of the payment is a restricted source for the official. This rule would help preclude a workaround to the rule by creating liability for those who knowingly act as a passthrough.
3.216(b)(7), (c) [new number]	Amends regulation authority.	This amendment would remove specific language about what gifts are exempted by regulation and instead give general authority to the Commission to exempt certain gifts (these exemptions are contained in the draft regulations below).
3.216(f)	Relocates reference to state gift aggregation regulation.	The lobbyist gift rule (2.115) already incorporates the state rule pertaining to the aggregation of gifts from related sources. The ordinance would move the reference to 3.216 so that it applies to all restricted source gifts. The aggregation principles help prevent circumvention of the rule by, for example, prohibiting a restricting source from using a separate entity that they control to give a prohibited gift.

3.217	Requires department heads to disclose certain payments to City departments from non-City sources.	The ordinance would require each department head to disclose payments that their department receives from a source that is not a federal, state, or local government and for which the department does not provide equal consideration. The disclosure is due by the fifteenth of the month following receipt the payment and must include basic information about the gift and the source, including the names of all City officials who receive a personal benefit from the gift. The disclosure must be updated if the information required to be disclosed, such as how a gift was used, changes after the time of the initial filing.
3.218	<p>Codify the following rules that appear in most Statements of Incompatible Activities:</p> <ol style="list-style-type: none"> 1) Activities Subject to the Department's Jurisdiction 2) Selective Assistance to Persons Seeking to Do Business with a City Department (including contractors and applicants for a license, permit, or other entitlement for use) 3) Use of City Resources 4) Use of Prestige of Office 5) Use of City Work Product 6) Acting as an Unauthorized City Representative 7) Compensation for City Duties or Advice 	These rules represent the standard ethics rules that appear in most Statements of Incompatible Activities. By codifying the rules in the Code, the rules will apply uniformly across all City departments, eliminating unnecessary divergences and enabling broader awareness and compliance. Advanced Written Determinations would remain available for the rule against excessive time demands or regular disqualification, but would no longer be available for the rule against activities subject to review by the official's department of the rule against providing selective assistance.

	<p>8) Lobbying Other Officials within the Department</p> <p>9) Excessive Time Demands and Regular Disqualifications</p> <p>Discontinue departmental Statements of Incompatible Activities.</p>	
3.242	Specifies that penalties apply to entire Chapter.	The current penalty provision is described as applying to violations of “any of the City’s conflict of interest and governmental ethics laws” – this has been clarified to apply to violations of “Chapter 2.”
3.243	Adds a provision that allows the Commission to require electronic filing of public disclosures.	This chapter, which contains Conflicts-of-Interest and Ethics rules, does not currently contain explicit language stating that the Commission may require any disclosures be made electronically.
3.303	Protect ethics laws from amendment by requiring approvals by a supermajority of the Ethics Commission and Board of Supervisors for legislative amendments.	<p>There is currently no provision in this chapter regarding amendments, which means a simple majority vote from the Board of Supervisors is sufficient to amend the chapter. The voters’ power to change the chapter would not be affected.</p> <p>In order to carry out this change, all provisions of the chapter need to be reauthorized, so the chapter is reprinted in the draft measure in its entirety. The text has not been changed unless noted in this chart.</p>
3.403	Protect ethics laws from amendment by requiring approvals by a supermajority of the Ethics Commission and Board of Supervisors for legislative amendments.	<p>There is currently no provision in this chapter regarding amendments, which means a simple majority vote from the Board of Supervisors is sufficient to amend the chapter. The voters’ power to change the chapter would not be affected.</p> <p>In order to carry out this change, all provisions of the chapter need to be reauthorized, so the chapter is reprinted in the draft measure in its entirety. The text has not been changed unless noted in this chart.</p>
3.415	Removes required mental states of “knowingly or negligently” from the penalty provision.	This chapter, which regulates permit consultants, attaches a prerequisite mental state to violations in order for those violations to result in administrative penalties. This standard is a departure from how administrative penalties are applied in other chapters: administrative penalties are typically applied on a strict liability basis in other chapters.

3.420	Adds a provision that allows the Commission to require electronic filing of public disclosures.	This chapter, which regulates permit consultants, does not currently contain explicit language stating that the Commission may require disclosures be made electronically. This new section on electronic filing replaces an outdated section on reports to be filed in 2016 and 2017 on the implementation of the chapter.
3.505	Protect ethics laws from amendment by requiring approvals by a supermajority of the Ethics Commission and Board of Supervisors for legislative amendments.	There is currently no provision in this chapter regarding amendments, which means a simple majority vote from the Board of Supervisors is sufficient to amend the chapter. The voters' power to change the chapter would not be affected. In order to carry out this change, all provisions of the chapter need to be reauthorized, so the chapter is reprinted in the draft measure in its entirety. The text has not been changed unless noted in this chart.
3.525	Adds a provision that allows the Commission to require electronic filing of public disclosures.	This chapter, which regulates major developers, does not currently contain explicit language stating that the Commission may require disclosures be made electronically.
3.530	Removes required mental states of "knowingly or negligently" from the penalty provision.	This chapter, which regulates major developers, attaches a prerequisite mental state to violations in order for those violations to result in administrative penalties. This standard is a departure from how administrative penalties are applied in other chapters: administrative penalties are typically applied on a strict liability basis in other chapters.
4.103	Protect ethics laws from amendment by requiring approvals by a supermajority of the Ethics Commission and Board of Supervisors for legislative amendments.	There is currently no provision in this chapter regarding amendments, which means a simple majority vote from the Board of Supervisors is sufficient to amend the chapter. The voters' power to change the chapter would not be affected. In order to carry out this change, all provisions of the chapter need to be reauthorized, so the chapter is reprinted in the draft measure in its entirety. The text has not been changed unless noted in this chart.

B. Regulation Amendments

The following table summarizes the provisions contained in the draft regulation amendments included as **Attachment 2**.

Table 2: Summary of Draft Regulation Amendments

Regulation Number	Summary	Details
3.216(b)-2	Specifies that certain types of communication are not considered an attempt to influence.	Language added to specify that communications made a public forum or rally and those made via petition or social media shall not be deemed to be an attempt to influence an officer or employee in any legislative or administrative action for the purposes of section 3.216(b).
3.216(b)-5(a)	Narrows the exception for small non-cash gifts given on four occasions per year.	The amendment would narrow the existing exception to only permit officials to receive small non-cash gifts from a restricted if the gifts are routine office courtesies (like water, coffee, small snacks, or a pad of paper) that are offered during a site visit that is a necessary part of the official's duties. This would still enable officials to accept small items that facilitate the execution of City duties without creating the opportunities for abuse that exist with the current exception. The current exception has been used to justify gifts, such as expensive parties, that clearly undermine the intent of the rule.
3.216(b)-5(b) [former number]	Removes exception for unlimited food and drink consumed in City offices.	The amendment would remove the exception that allows City officials to accept unlimited food and drinks from restricted sources as long as it is consumed in a City workplace. This exception clearly undermines the restricted source rule.
3.216(b)-5(b) [new number]	Clarifies the exception for free attendance at conferences.	The amendment specifies that officials may accept free attendance at a widely attended conference from a restricted source, but only if the restricted source is the organizer of the event. This would prevent abuse of the exception whereby a restricted source could purchase attendance to a conference that they are not organizing and give it to an official. This was not the intent of the exception.
3.216(b)-5 (d)—(f) [former numbers]	Removes exceptions for free meals from industry representatives.	The amendments would remove the exceptions that allow certain City officials to accept free meals from members of the financial, maritime, and aviation industry. These gifts undermine the effectiveness of the restricted source rule and are not justified by operational needs. Departments can and should expend their own funds to cover the costs of employee meals that are necessary in order to carry out City operations. Departments should not rely on restricted sources to cover such costs.

3.216(b)-5 (d)—(l) [new numbers]	Applies appropriate state gift exceptions to restricted source rule.	<p>The amendments would apply certain state law gift exceptions to the restricted source rule. By creating a definition of <i>gift</i> in the Campaign & Governmental Conduct Code (see summary of ordinance provisions above), state exceptions would no longer be incorporated in their entirety. This is necessary to uphold the effectiveness of the rule. Instead, only the exceptions that are appropriate and do not undermine the effectiveness of the restricted source rule would be incorporated in the regulations. These are the state exceptions for:</p> <ul style="list-style-type: none"> • informational material; • gifts that are returned, donated, or paid for; • gifts from family members; • campaign contributions and payments for campaign activities; • inheritance; • disaster relief; • free admission to event where official makes a speech; and • free admission to event where official performs a ceremonial role.
3.216(b)-5 (m)	Adds exemption to restricted source rule for attendance at certain nonprofit fundraisers.	This exemption would apply to a ticket provided by a nonprofit organization to a fundraiser event hosted by the nonprofit organization if the ticket is used by an official for whom attendance at the event is necessary to carry out the official's City duties and the official's department complies with the disclosure requirements contained in section 3.217 of the Code. The ticket may not be used for employee appreciation or as a reward for public service.
3.216(b)-5 (n)	Adds exemption to restricted source rule for attendance at certain entertainment events.	This exemption would apply to a ticket to an arts exhibit, performance, athletic event, or sporting event provided by an organization holding the exhibit, performance, or event if the ticket is used by an official for whom attendance at the exhibit or performance is necessary to carry out the official's City duties and the official's department complies with the disclosure requirements contained in section 3.217 of the Code. Employees of the City's Charter-identified arts and culture departments may accept a single additional ticket for a guest to accompany them to the event. The ticket (or tickets for employees of the arts and culture departments) may not be used for employee appreciation or as a reward for public service.
3.216(b)-5 (o)	Adds exemption to restricted source rule for personalized plaques and trophies.	This exemption would apply personalized plaques or trophies valued at less than \$250, limited to one plaque or trophy, per calendar year, per restricted source.

3.216(b)-5 (p)	Adds exception to restricted source rule for personalized greeting cards, letters, or postcards.	This exception would apply to personalized greeting cards, letters, and postcards.
3.216(b)-5 (q)	Adds exception to restricted source rule for payments provided at free or reduced rates to members of the general public.	This exception would apply to payments provided at free or discounted rates to members of the general public, made without regard to the officer or employees status as a City official. This would include items such as promotional discounts or merchandise (swag bags, buttons, stickers, branded t-shirts, etc.), attendance at community events, food or product samples, product demonstrations.
3.216(b)-5 (r)	Adds exception to restricted source rule for branded promotional items of nominal value from nonprofit organizations.	This exception would apply to branded promotional items of nominal value from nonprofit organizations. This would include items such as pens, pencils, mouse pads, mugs, water bottles, calendars, t-shirts, hats, buttons, stickers, or similar items, which are branded with the nonprofit organization's name or logo.
3.216(b)-5	Relocates examples to relevant examples.	Currently, all examples appear at the end of regulation 3.216(b)-5. Each example would instead directly follow the exception to which it corresponds.
3.216(b)-6	Exempts approvals, and applications for approval, that are solely ministerial from the definition of "doing business with the department."	Specifies that neither an approval nor the application for approval of a license, permit, or other entitlement for use shall be deemed "doing business with the department" if the approval of such item is solely ministerial, secretarial, manual, or clerical. A person seeking, obtaining, or possessing such a license, permit, or other entitlement for use is not a "restricted source" for purposes of section 3.216, solely because of the license, permit, or other entitlement for use.
3.216(b)-5; 3.216(c)-1	Changes <i>voluntary</i> to <i>unsolicited</i> .	The amendments use the word <i>unsolicited</i> in place of the word <i>voluntary</i> . The word is clearer and is defined to mean "not requested and [] given freely, without pressure or coercion." For gifts from subordinates, a gift is still unsolicited if an official other than the recipient requests a group of officials to make contributions to a group gift and the request "includes a statement that an employee may choose to contribute less or not at all."
3.216(c)-1 (b)(2)(B)(v); (b)(3)	Combines exception for occasions of <i>special personal significance</i> with exception for <i>occasions when gifts are traditionally given</i> .	The amendment would combine two existing exceptions. This would remove the ambiguity that exists around the concept of "occasions of special personal significance" by defining what those occasions are. It would also apply the \$25 limit that already applies to gifts given on occasions when gifts are traditionally given (such as holidays and

		birthdays). This would still allow subordinates to give small gifts to their supervisors to recognize births, adoptions, deaths, and marriages.
3.216(c)-1 (b)(2)(B)(xiv)	Removes exception for gifts from subordinate to supervisor's family member.	The amendment removes the exception for gifts to a supervisor's family member, which is a potential work around that undermines the purposes of the subordinate gift rule.
3.216(c)-1 (a)(1)	Aligns restatement of subordinate gift rule with the code.	The regulation's current restatement of the subordinate gift rule does not align with the code. The amendment would ensure alignment.
3.216(c)-1 (b)(7) [new number]	Adds definition of subordinate officer.	Currently, the regulation only defines <i>subordinate employee</i> . However, the rule applies to both officers and employees. The amendment would create a definition of <i>subordinate officer</i> that mirrors the concept of <i>subordinate employee</i> .

Attachment 4

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

[Initiative Ordinance - Campaign and Governmental Conduct Code - Gift Prohibitions and Reporting, Bribery, Ethics Training, Incompatible Activities, and Amendment Process]

Motion ordering submitted to the voters, at an election to be held on November 8, 2022, an ordinance amending the Campaign and Governmental Conduct Code to 1) expand gift prohibitions for City officers and employees; 2) expand rules prohibiting bribery; 3) require ethics training for Form 700 filers; 4) impose gift prohibitions on members of the public with respect to City officers and employees; 5) impose personal liability on City officials for failure to disclose certain relationships; 6) create generally applicable incompatible activity rules; and 7) require Ethics Commission and Board of Supervisors super-majority approval for amendments to certain ethics-related ordinances.

MOVED, That pursuant to Charter Section 15.102, the Ethics Commission hereby submits the following ordinance to the voters of the City and County of San Francisco, at an election to be held on November 8, 2022.

Ordinance amending the Campaign and Governmental Conduct Code to 1) expand gift prohibitions for City officers and employees; 2) expand rules prohibiting bribery; 3) require ethics training for Form 700 filers; 4) impose gift prohibitions on members of the public with respect to City officers and employees; 5) impose personal liability on City officials for failure to disclose certain relationships; 6) create generally applicable incompatible activity rules; and 7) require Ethics Commission and Board of Supervisors super-majority approval for amendments to certain ethics-related ordinances.

NOTE: **Unchanged Code text and uncodified text** are in plain Arial font.
Additions to Codes are in single-underline italics Times New Roman font.

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 **Deletions to Codes** are in ~~strikethrough italics Times New Roman font~~.
2 **Board amendment additions** are in double-underlined Arial font.
3 **Board amendment deletions** are in ~~strikethrough Arial font~~.
4 **Asterisks (* * * *)** indicate the omission of unchanged Code
5 subsections or parts of tables.

6 Be it ordained by the People of the City and County of San Francisco:

7 Section 1. Article I, Chapter 5 of the Campaign and Governmental Conduct Code is
8 hereby amended by adding Section 1.503, to read as follows:

9 **SEC. 1.503. AMENDMENT OR REPEAL OF THIS CHAPTER.**

10 The voters may amend or repeal this Chapter 5. The Board of Supervisors may amend this
11 Chapter 5 if all of the following conditions are met:

12 (a) The amendment furthers the purposes of this Chapter;

13 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
14 fifths vote of all its members;

15 (c) The proposed amendment is available for public review at least 30 days before the
16 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;

17 and

18 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
19 all its members.

20 Section 2. The voters hereby re-authorize and re-enact in its entirety Article II, Chapter
21 1 of the Campaign and Governmental Conduct Code, in the process revising Sections 2.103,
22 2.115, 2.135, and 2.145, to read as follows:

23 [SECTIONS REMOVED FOR DISCUSSION VERSION]

24 [SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

25 **SEC. 2.100. FINDINGS.**

 CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 (a) The ~~Board of Supervisors~~voters finds that public disclosure of the identity and extent
2 of efforts of lobbyists to influence decision-making regarding local legislative and
3 administrative matters is essential to protect public confidence in the responsiveness and
4 representative nature of government officials and institutions. It is the purpose and intent of
5 the ~~Board of Supervisors~~this Chapter 1 to impose reasonable registration and disclosure
6 requirements to reveal information about lobbyists' efforts to influence decision-making
7 regarding local legislative and administrative matters.

8 (b) To increase public confidence in the fairness and responsiveness of governmental
9 decision making, it is the further purpose and intent of the people of the City and County of
10 San Francisco to restrict gifts, campaign contributions, and bundled campaign contributions
11 from lobbyists to City officers so that governmental decisions are not, and do not appear to
12 be, influenced by the giving of personal benefits to City officers by lobbyists, or by lobbyists'
13 financial support of City officers' political interests.

14 (c) Corruption and the appearance of corruption in the form of campaign consultants
15 exploiting their influence with City officials on behalf of private interests may erode public
16 confidence in the fairness and impartiality of City governmental decisions. The City and
17 County of San Francisco has a compelling interest in preventing corruption or the appearance
18 of corruption which could result in such erosion of public confidence. Prohibitions on
19 campaign consultants lobbying current and former clients will protect public confidence in the
20 electoral and governmental processes. It is the purpose and intent of the people of the City
21 and County of San Francisco in enacting this Chapter to prohibit campaign consultants from
22 exploiting or appearing to exploit their influence with City officials on behalf of private
23 interests.

24
25 **SEC. 2.103. AMENDMENT OR REPEAL OF CHAPTER.**

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 ~~With respect to any provisions of this Chapter regarding regulation of expenditure lobbyists,~~
2 ~~registration requirements, amendment of registration information and monthly disclosures, or~~
3 ~~restrictions on gifts, campaign contributions, or bundled campaign contributions from lobbyists,~~
4 ~~approved by the voters, the Board of Supervisors may amend those provisions~~ The voters may amend or
5 repeal this Chapter. The Board of Supervisors may amend this Chapter if all of the following
6 conditions are met:

- 7 (a) The amendment furthers the purposes of this Chapter;
- 8 (b) The Ethics Commission approves the proposed amendment in advance by at least
9 a four-fifths vote of all its members;
- 10 (c) The proposed amendment is available for public review at least 30 days before the
11 amendment is considered by the Board of Supervisors or any committee of the Board of
12 Supervisors; and
- 13 (d) The Board of Supervisors approves the proposed amendment by at least a two-
14 thirds vote of all its members.

15 [SECTIONS REMOVED FOR DISCUSSION VERSION]

16 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

17 **SEC. 2.115. LIMITS AND PROHIBITIONS.**

18 ~~(a) **GIFT PROHIBITION.**~~

19 ~~(1) No lobbyist shall make any gift, including any gift of travel, to an officer of the City~~
20 ~~and County, or to a parent, spouse, domestic partner registered under state law, or dependent child of~~
21 ~~an officer of the City and County. No lobbyist shall make any payment to a third party for the purpose~~
22 ~~of paying for a gift or any part of a gift, including any gift of travel, to an officer of the City and~~
23 ~~County, or to a parent, spouse, domestic partner registered under state law, or dependent child of an~~
24 ~~officer of the City and County.~~

25 **CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY**

1 ~~(2) No officer of the City and County may accept or solicit any gift, including any gift of~~
2 ~~travel, from any lobbyist for the officer's personal benefit or for the personal benefit of the officer's~~
3 ~~parent, spouse, domestic partner registered under state law, or dependent child. No officer of the City~~
4 ~~and County may accept or solicit any gift, including any gift of travel, from a third party if the officer~~
5 ~~knows or has reason to know that the third party is providing the gift or gift of travel on behalf of a~~
6 ~~lobbyist.~~

7 ~~(3) **Exception for gifts of food or refreshment provided by 501(c)(3) nonprofit**~~
8 ~~**organizations.** Notwithstanding the prohibitions set forth in subsections (1) and (2), lobbyists may~~
9 ~~offer gifts of food or refreshment worth \$25 or less per occasion, and officers of the City and County~~
10 ~~may accept such gifts, if the lobbyist is a 501(c)(3) nonprofit organization, the gift of food or~~
11 ~~refreshment is offered in connection with a public event held by the 501(c)(3) nonprofit organization,~~
12 ~~and the same gift of food or refreshment is made available to all attendees of the public event.~~

13 ~~(4) **Aggregation of gifts.** For purposes of the gift limits imposed by subsections (1) (3),~~
14 ~~gifts shall be aggregated set forth in California Code of Regulations, Title 2, Section 18945.1, as it may~~
15 ~~hereafter be amended.~~

16 ~~(ba)~~ **FUTURE EMPLOYMENT.** No lobbyist shall cause or influence the introduction or
17 initiation of any local legislative or administrative action for the purpose of thereafter being
18 employed or retained to secure its granting, denial, confirmation, rejection, passage, or defeat.

19 ~~(eb)~~ **FICTITIOUS PERSONS.** No contact lobbyist shall contact any officer of the City
20 and County in the name of any fictitious person or in the name of any real person, except with
21 the consent of such real person.

22 ~~(ec)~~ **EVASION OF OBLIGATIONS.** No lobbyist shall attempt to evade the obligations
23 imposed by this Chapter through indirect efforts or through the use of agents, associates, or
24 employees.

25 ~~(ed)~~ **CAMPAIGN CONTRIBUTIONS - PROHIBITIONS.**

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1 (1) No lobbyist shall make any contribution to a City elective officer or candidate
2 for City elective office, including the City elective officer's or candidate's controlled
3 committees, if that lobbyist (A) is registered to lobby the agency of the City elective officer or
4 the agency for which the candidate is seeking election or (B) has been registered to lobby that
5 agency in the previous 90 days.

6 (2) If a lobbyist has failed to disclose which agencies the lobbyist attempts to
7 influence, as required by Section 2.110(b), the lobbyist may not make a contribution to any
8 City elective officer or candidate for City elective office, or any City elective officer's or
9 candidate's controlled committees.

10 **(f~~e~~) BUNDLING OF CAMPAIGN CONTRIBUTIONS - PROHIBITIONS.**

11 (1) No lobbyist shall deliver or transmit, or deliver or transmit through a third
12 party, any contribution made by another person to any City elective officer or candidate for
13 City elective office, or any City elective officer's or candidate's controlled committees, if that
14 lobbyist (A) is registered to lobby the agency for which the candidate is seeking election or the
15 agency of the City elective officer or (B) has been registered to lobby that agency in the
16 previous 90 days.

17 (2) If a lobbyist has failed to disclose which agencies the lobbyist attempts to
18 influence, as required by Section 2.110(b), the lobbyist may not deliver or transmit, or deliver
19 or transmit through a third party, any contribution made by another person to any City elective
20 officer or candidate for City elective office, or any City elective officer's or candidate's
21 controlled committees.

22 **(g~~f~~) AGGREGATION OF AFFILIATED ENTITY CONTRIBUTIONS.** For purposes of
23 the contribution limits imposed by subsections (e) and (f), the contributions of an entity whose
24 contributions are directed and controlled by any lobbyist shall be aggregated with
25 contributions made by that lobbyist as set forth in Section 1.114(c).

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1 (hg) **REGULATIONS.** The Ethics Commission may adopt regulations implementing
2 this Section 2.115, but such regulations may not establish any exceptions from the limits and
3 prohibitions set forth therein.

4 [SECTIONS REMOVED FOR DISCUSSION VERSION
5 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

6 **SEC. 2.135. FILING UNDER PENALTY OF PERJURY; RETENTION OF**
7 **DOCUMENTS; AUDITS.**

8 (a) All information required under this Chapter shall be submitted to the Ethics
9 Commission, in the format designated by the Commission, which may include an electronic
10 format. The lobbyist shall verify, under penalty of perjury, the accuracy and completeness of
11 the information provided under this Chapter.

12 (b) The lobbyist shall retain for a period of five years all books, papers and documents
13 necessary to substantiate the registration and disclosure reports required by this Chapter.
14 These records shall include, but not be limited to, copies of all fundraising solicitations sent by
15 the lobbyist or his or her agent for an officer of the City and County, a candidate for such
16 office, a committee controlled by such officer or candidate, or a committee primarily formed to
17 support or oppose such officer or candidate, or any committee primarily formed to support or
18 oppose a ballot measure to be voted on only in San Francisco.

19 (c) On an annual basis, the Executive Director shall initiate audits of one or more
20 lobbyists selected at random. At the request of the Executive Director, the Controller may
21 assist in conducting these audits. This requirement shall not restrict the authority of the
22 Executive Director or the Ethics Commission to undertake any other audits or investigations of
23 a lobbyist authorized by law or regulation. Within ten business days of a request by the Ethics
24 Commission, a lobbyist or anyone required to register as a lobbyist shall provide the Ethics
25 Commission with any documents required to be retained under this Section.

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1 [SECTIONS REMOVED FOR DISCUSSION VERSION

2 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

3 **SEC. 2.145. ADMINISTRATIVE AND CIVIL ENFORCEMENT AND PENALTIES.**

4 (a) If any lobbyist fails to submit any information required by this Chapter after any
5 applicable deadline, the Ethics Commission shall, in addition to any other penalties or
6 remedies established in this Chapter, impose a late filing fee of \$50 per day after the deadline
7 until the information is received by the Ethics Commission. The Executive Director of the
8 Ethics Commission may reduce or waive a late filing fee if the Executive Director determines
9 that the late filing was not willful and that enforcement will not further the purposes of this
10 Chapter. If such reduction or waiver equals or exceeds \$500, the Executive Director shall
11 notify the Commission of his or her determination. Thereafter, any two or more members of
12 the Commission may cause the reduction or waiver to be calendared for consideration by the
13 full Commission in open session at the next Commission meeting occurring no sooner than
14 ten days from the date the Executive Director informs the Commission of the Executive
15 Director's recommendation. A Commissioner's request that a reduction or waiver be
16 calendared must be received by the Executive Director no fewer than five days prior to the
17 date of the meeting, so that the Executive Director may comply with the applicable notice and
18 agenda requirements. The Ethics Commission shall deposit funds collected under this
19 Section in the General Fund of the City and County of San Francisco.

20 (b) Any person who ~~knowingly or negligently~~ violates this Chapter, including but not
21 limited to, by providing inaccurate or incomplete information regarding lobbying activities, may
22 be liable in an administrative proceeding before the Ethics Commission pursuant to Charter
23 Section C3.699-13. In addition to the administrative penalties set forth in the Charter, the
24 Ethics Commission may issue warning letters regarding potential violations of this Chapter
25 both to the lobbyist and the person who pays or employs the lobbyist.

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1 (c) Any person or entity which knowingly or negligently violates this Chapter may be
2 liable in a civil action brought by the City Attorney for an amount up to \$5,000 per violation, or
3 three times the amount not properly reported, or three times the amount given or received in
4 excess of the gift limit, whichever is greater.

5 (d) In investigating any alleged violation of this Chapter the Ethics Commission and
6 City Attorney shall have the power to inspect all documents required to be maintained under
7 this Chapter. This power to inspect documents is in addition to other powers conferred on the
8 Ethics Commission and City Attorney by the Charter or by ordinance, including the power of
9 subpoena.

10 (e) **JOINT AND SEVERAL LIABILITY.**

11 (1) Should two or more persons be responsible for any violation under this
12 Chapter, they may be jointly and severally liable.

13 (2) The client or employer of a lobbyist shall be jointly and severally liable for all
14 violations of this Chapter committed by the lobbyist in connection with acts or omissions
15 undertaken on behalf of that client or employer.

16 (3) If a business, firm or organization registers or files lobbyist disclosures on
17 behalf of its employees pursuant to Section 2.110(d), the business, firm or organization may
18 be held jointly and severally liable for any failure to disclose its employees' lobbying activities.

19 (f) The City Attorney may also bring an action to revoke for up to one year the
20 registration of any lobbyist who has knowingly violated this Chapter.

21 [SECTIONS REMOVED FOR DISCUSSION VERSION

22 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

23 **SEC. 2.155. SEVERABILITY.**

24 If any section, subsection, subdivision, sentence, clause, phrase or portion of this
25 Chapter, or the application thereof to any person, is for any reason held to be invalid or

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1 unconstitutional by the decision of any court of competent jurisdiction, such decision shall not
2 affect the validity of the remaining portions of this Chapter or its application to other persons.
3 The ~~Board of Supervisors~~ voters hereby declares that ~~it they~~ would have adopted this Chapter,
4 and each section, subsection, subdivision, sentence, clause, phrase or portion thereof,
5 irrespective of the fact that any one or more sections, subsections, subdivisions, sentences,
6 clauses, phrases, or portions, or the application thereof to any person, to be declared invalid
7 or unconstitutional.

8
9 Section 3. Article III, Chapter 1 of the Campaign and Governmental Conduct Code is
10 hereby amended by revising Sections 3.1-102 and 3.1-102.5, to read as follows:

11 **SEC. 3.1-102. FILING REQUIREMENTS.**

12 (a) **Officers and Employees.** Each officer and employee of the City and County of
13 San Francisco holding a position designated in this Chapter I, other than those officials
14 identified in Section 3.1-500, shall file statements disclosing the information required by the
15 disclosure categories set forth in this Chapter, on such forms as may be specified by the Fair
16 Political Practices Commission in a format specified by the Ethics Commission (Form 700
17 unless otherwise provided by the Commission), and at such times required by Regulation
18 18730. A copy of the forms to be used shall be supplied by the Ethics Commission to each
19 filing officer, upon request. Every officer and employee holding a position designated in this
20 Chapter shall retain his or her filing obligations, notwithstanding any reclassification or title
21 change that may occur in the future as to the same job duties.

22 (b) **Candidates.** Each candidate for City elective office, as that term is defined in
23 Chapter 1 of Article I of this Code, shall file no later than the final filing date for a declaration of
24 candidacy, a statement disclosing the information required by the disclosure category for the
25 City elective office sought by the candidate. Candidates shall file such statements with the

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1 Department of Elections on the same forms as used by filers under subsection (a) of this
2 Section 3.1-102. This statement shall not be required if the candidate has filed, within 60 days
3 prior to the filing of his or her declaration of candidacy, a statement for the same jurisdiction
4 pursuant to this Chapter or Sections 87202 or 87203 of the California Government Code.

5 **(c) Penalties and Enforcement.**

6 **(1) Criminal Penalties.** *Any person who knowingly or willfully violates this Section*
7 *3.1-102 shall be guilty of a misdemeanor and upon conviction thereof shall be punished by a fine of not*
8 *more than \$10,000 for each violation or by imprisonment in the County jail for a period of not more*
9 *than one year in jail or by both such fine and imprisonment.*

10 **(2) Civil Penalties.** *Any person who intentionally or negligently violates this Section*
11 *3.1-102 shall be liable in a civil action brought by the City Attorney for an amount up to \$5,000 for*
12 *each violation.*

13 **(3) Injunctive Relief.** *The City Attorney or any San Francisco resident may bring a*
14 *civil action on behalf of the people of San Francisco to enjoin violations of or compel compliance with*
15 *this Section 3.1-102.*

16 **(A) No resident may commence a civil action under this Section 3.1-102 without**
17 **first notifying the City Attorney in writing of the intent to file a civil action under this Section**
18 **3.1-102. If the City Attorney fails to notify the resident within 120 days of receipt of the notice**
19 **that the City Attorney has filed or will file a civil action, the complainant may file the action.**
20 **No resident may file an action under this Section 3.1-102 if the City Attorney responds within**
21 **120 days that the City Attorney intends to file an action or has already filed a civil action.**

22 **(B) No resident may bring an action under this Section 3.1-102 if the Ethics**
23 **Commission has issued a finding of probable cause arising out of the same facts, the District**
24 **Attorney has commenced a criminal action arising out of the same facts, or another resident has**
25 **filed a civil action under this Section arising out of the same facts.**

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1 (C) A court may award reasonable attorney's fees and costs to any resident who
2 obtains injunctive relief under this Section 3.1-102.

3 (4) **Administrative Penalties.** Any person who violates this Section 3.1-102 shall be
4 subject to and may be held liable in an administrative proceeding before the Ethics Commission held
5 pursuant to the Charter. In addition to the administrative penalties set forth in the Charter, the Ethics
6 Commission may issue warning letters to City officers and employees.

7 (5) **Statute of Limitations.** No person may bring a criminal, civil, or administrative
8 action under this Section 3.1-102 against any other person more than four years after the date of the
9 alleged violation.

11 **SEC. 3.1-102.5. FAILURE TO FILE.**

12 (a) **Potential Discipline.** Subject to the removal and Civil Service provisions of the
13 Charter as well as any applicable Civil Service Rules, any officer or employee of the City and
14 County of San Francisco who fails to file any statement required by Sections 3.1-101 and 3.1-
15 102 of this Chapter 1 within 30 days after receiving notice from the Ethics Commission of a
16 failure to file may be subject to disciplinary action by ~~his or her~~ their appointing authority,
17 including removal from office or termination of employment.

18 (b) **Warning Letter.** The Ethics Commission may issue a letter to an appointing
19 authority recommending suspension or removal of any City officer or termination of any City
20 employee who has failed to file a statement required by Sections 3.1-101 and 3.1-102 of this
21 Chapter 1 if the City officer or employee has not filed the required statement within 30 days of
22 receiving notice from the Ethics Commission of ~~his or her~~ their failure to file.

23 (c) **Required Disqualification by Members of Boards and Commissions.**
24 Members of City boards or commissions who have failed to file statements required by
25 Sections 3.1-101, 3.1-102, and 3.1-103 of the Campaign and Governmental Conduct Code

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1 (Form 700 Statements of Economic Interests, Sunshine Ordinance Declarations, and
2 Certificates of Ethics Training) by the applicable filing deadline shall be disqualified from all
3 participation in and voting on matters listed on their boards' and commissions' meeting
4 agendas.

5 (1) **Waiver.** A member of a City board or commission may seek a waiver for
6 cause from the Ethics Commission's Executive Director excusing ~~his or her~~ the member's failure
7 to file the statements required by Sections 3.1-101, 3.1-102, and 3.1-103 of the Campaign
8 and Governmental Conduct Code. If the Executive Director grants such a waiver, the
9 member of a board or commission will not be disqualified under this subsection (c); provided
10 that after a member of board or commission has sought a waiver and while the waiver is
11 pending before the Executive Director, the member shall continue to be disqualified.

12 (2) **Subsequent Filing of Required Statements.** After a member of City board
13 or commission files any delinquent statement required by Sections 3.1-101, 3.1-102, and 3.1-
14 103 of the Campaign and Governmental Conduct Code, the member shall no longer be
15 disqualified under this subsection (c).

16 **(3) Penalties and Enforcement.**

17 **(A) Criminal Penalties.** *Any person who knowingly or willfully violates this*
18 *subsection (c) shall be guilty of a misdemeanor and upon conviction thereof shall be punished by a fine*
19 *of not more than \$10,000 for each violation or by imprisonment in the County jail for a period of not*
20 *more than one year in jail or by both such fine and imprisonment.*

21 **(B) Civil Penalties.** *Any person who intentionally or negligently violates this*
22 *subsection (c) shall be liable in a civil action brought by the City Attorney for an amount up to \$5,000*
23 *for each violation.*

24
25
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1 (C) **Injunctive Relief.** The City Attorney or any San Francisco resident may
2 bring a civil action on behalf of the people of San Francisco to enjoin violations of or compel
3 compliance with this subsection (c).

4 (i) No resident may commence a civil action under this subsection (c)
5 without first notifying the City Attorney in writing of the intent to file a civil action under this
6 subsection (c). If the City Attorney fails to notify the resident within 120 days of receipt of the
7 notice that the City Attorney has filed or will file a civil action, the complainant may file the
8 action. No resident may file an action under this subsection (c) if the City Attorney responds
9 within 120 days that the City Attorney intends to file an action or has already filed a civil
10 action.

11 (ii) No resident may bring an action under this subsection (c) if the Ethics
12 Commission has issued a finding of probable cause arising out of the same facts, the District
13 Attorney has commenced a criminal action arising out of the same facts, or another resident has
14 filed a civil action under this Section arising out of the same facts.

15 (iii) A court may award reasonable attorney's fees and costs to any
16 resident who obtains injunctive relief under this subsection (c).

17 (D) **Administrative Penalties.** Any person who violates this subsection (c) shall
18 be subject to and may be held liable in an administrative proceeding before the Ethics Commission
19 held pursuant to the Charter. In addition to the administrative penalties set forth in the Charter, the
20 Ethics Commission may issue warning letters to City officers and employees.

21 (E) **Statute of Limitations.** No person may bring a criminal, civil, or
22 administrative action under this subsection (c) against any other person more than four years after the
23 date of the alleged violation.

24 (d) **Public Announcement.** If a member of a City board or commission has failed to
25 file a required statement (Form 700 Statement of Economic Interests, Sunshine Ordinance

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1 Declaration, or Certificate of Ethics Training), at the beginning of each meeting of the board or
2 commission that occurs after the applicable deadline for the required statement and before
3 the member of the board or commission files the required statement, the Commission
4 Secretary, or any City staff who fulfills that role, shall announce that the member of the board
5 or commission has failed to file a statement required by Sections 3.1-101, 3.1-102, and 3.1-
6 103 of this Chapter 1 and that the member will be disqualified from all participation in and
7 voting on matters coming before the board or commission.

8
9 Section 4. Article III, Chapter 2 of the Campaign and Governmental Conduct Code is
10 hereby amended by revising Sections 3.203 (with added definitions placed in alphabetical
11 sequence), 3.204, 3.214, 3.216, and 3.242, deleting the entire text of Section 3.218 and
12 replacing it with added new text, and adding Sections 3.205, 3.217, and 3.243, to read as
13 follows:

14 **SEC. 3.203. DEFINITIONS.**

15 Whenever in this Chapter 2 the following words or phrases are used, they shall mean:

16 "Affiliate" shall mean any member of an entity's board of directors or any of that entity's
17 principal officers, including its chairperson, chief executive officer, chief financial officer, chief
18 operating officer, and any person with an ownership interest of more than 10% in the entity.

19 "Anything of value" shall mean any money or property, private financial advantage,
20 service, payment, advance, forbearance, loan, or promise of future employment, but does not
21 include compensation and expenses paid by the City; or contributions as defined herein, ~~or~~
22 ~~gifts that qualify for gift exceptions established by State or local law.~~

23 "Appointed department head" shall mean any department head who is required to file a
24 Statement of Economic Interests as set forth in Section 3.1-103(b)(1) of this Code, except for the
25 Assessor-Recorder, City Attorney, District Attorney, Mayor, Public Defender, Sheriff, and Treasurer.

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1 * * * *

2 “Contract” shall mean any agreement, including any amendment or modification to an
3 agreement, with the City and County of San Francisco for:

4 (a) the rendition of personal services,

5 (b) the furnishing of any material, supplies, or equipment,

6 (c) the sale or lease of any land or building,

7 (d) a grant, loan, or loan guarantee, or

8 (e) a development agreement.

9 * * * *

10 “Department head” shall mean any City official who is required to file a Statement of
11 Economic Interests as set forth in Section 3.1-103(b)(1) of this Code.

12 “Doing business with the department” shall mean:

13 (a) being a party to or seeking to become a party to a contract with the department, until 12
14 months after the term of the contract ends or, if no contract is approved, 12 months after negotiations
15 regarding the contract terminate; or

16 (b) seeking, obtaining, or possessing a license, permit, or other entitlement for use issued by
17 the department, and appealable to or approved by the department head, the department’s board or
18 commission, or the Board of Supervisors, until 12 months after the date the license, permit, or other
19 entitlement for use was issued, extended, or otherwise approved or, if no license, permit, or other
20 entitlement for use was issued or approved, 12 months after the day the final decision not to issue or
21 approve was made.

22 “Family member” shall mean an immediate family member, sibling, parent, grandparent,
23 grandchild, aunt, uncle, niece, nephew, or sibling of a spouse or registered domestic partner. Each
24 term shall be inclusive of relationships established by birth, adoption, or marriage.

25 * * * *

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1 “Gift” shall mean any payment that confers a personal benefit on the recipient, to the extent
2 that consideration of equal or greater value is not received and includes a rebate or discount in the
3 price of anything of value unless the rebate or discount is made in the regular course of business to
4 members of the public without regard to official status. Any person, other than a defendant in a
5 criminal action, who claims that a payment is not a gift by reason of receipt of consideration has the
6 burden of proving that the consideration received is of equal or greater value. Any gift exceptions
7 established by State law shall not apply to “gift,” as used in this Chapter.

8 * * * *

9 “License, permit, or other entitlement for use” shall mean business, professional, trade, and
10 land use licenses and permits and other entitlements for use, including land use entitlements, as defined
11 in California Government Code Section 84308 and its implementing regulations, as amended from time
12 to time, provided that “entitlement for use” shall not include any contract, as defined in this Section
13 3.203.

14 * * * *

15 “Payment” shall mean a payment, distribution, transfer, loan, advance, deposit, gift or other
16 rendering of money, property, services, or anything else of value, whether tangible or intangible.

17 “Restricted source” shall mean:

18 (a) a person doing business with or seeking to do business with the department of the officer or
19 employee;

20 (b) for members of boards and commissions, including the Board of Supervisors, a person
21 doing business with any City department pursuant to a contract that required the approval of the board
22 or commission;

23 (c) a person seeking, obtaining, or possessing a license, permit, or other entitlement for use, in
24 which the officer or employee was personally and substantially involved, until 12 months after the date
25 the license, permit, or other entitlement for use was issued, extended, amended, or otherwise approved

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1 or, if no license, permit, or other entitlement for use was issued or approved, 12 months after the day
2 the final decision not to issue or approve was made.

3 (d) an affiliate of an entity that qualifies as a restricted source under (a), (b), or (c);

4 (e) a person who during the prior 12 months knowingly attempted to influence the officer or
5 employee in any legislative or administrative action;

6 (f) for officers, a registered lobbyist; or

7 (g) any permit consultant, as defined under Article III, Chapter 4 of this Code, who has
8 registered as a permit consultant with the Ethics Commission, if the permit consultant has reported any
9 contacts with the designated employee's or officer's department to carry out permit consulting services
10 during the prior 12 months.

11 * * * *

13 **SEC. 3.204. AMENDMENT OR REPEAL OF THIS CHAPTER.**

14 The voters may amend or repeal this Chapter. The Board of Supervisors may amend
15 this Chapter if all of the following conditions are met:

16 (a) The amendment furthers the purposes of this Chapter;

17 (b) The Ethics Commission approves the proposed amendment in advance by at least
18 a four-fifths vote of all its members;

19 (c) The proposed amendment is available for public review at least 30 days before the
20 amendment is considered by the Board of Supervisors or any committee of the Board of
21 Supervisors; and

22 (d) The Board of Supervisors approves the proposed amendment by at least a two-
23 thirds vote of all its members.

25 **SEC. 3.205. ETHICS COMMISSION TRAINING.**

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1 (a) **Ethics Training Requirement.** Each City officer and employee required to file a statement
2 of economic interests under Article III, Chapter 1 of this Code shall annually complete an ethics
3 training.

4 (b) **Administration and Content of Ethics Training.** The Ethics Commission shall administer
5 the ethics training required under subsection (a). The Ethics Commission shall determine the contents
6 and format of the training, which shall provide information about state and local governmental ethics
7 laws that apply to City officers and employees.

8 (c) **Notice.** Every department, board, commission, and agency of the City and County shall
9 annually provide to its officers and employees a copy of a summary to be created by the Ethics
10 Commission of relevant state and local ethics laws.

11
12 **SEC. 3.214. DISCLOSURE OF PERSONAL, PROFESSIONAL AND BUSINESS**
13 **RELATIONSHIPS.**

14 (a) **Disclosure.** A City officer or employee shall disclose on the public record any
15 personal, professional, or business relationship with any individual person who is the subject of
16 or has an ownership or financial interest in the subject of a governmental decision being made
17 by the officer or employee where as a result of the relationship, the ability of the officer or
18 employee to act for the benefit of the public could reasonably be questioned. For the
19 purposes of this Section 3.214, the minutes of a public meeting at which the governmental
20 decision is being made, or if the governmental decision is not being made in a public meeting,
21 a memorandum kept on file at the offices of the City officer or employee's department, board,
22 commission, or agency shall constitute the public record.

23 (b) **Penalties.** A court may void any governmental decision made by a City officer or
24 employee who fails to disclose a relationship as required by §subsection (a) if the court
25 determines that: (1) the failure to disclose was willful; and (2) the City officer or employee

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1 failed to render ~~his or her~~ their decision with disinterested skill, zeal, and diligence and
2 primarily for the benefit of the City. ~~No other penalties shall apply to a violation of this Section,~~
3 ~~provided that nothing in this Section shall prohibit an appointing authority from imposing discipline for~~
4 ~~a violation of this Section.~~

5 (c) **Regulations.** The Ethics Commission may adopt regulations setting forth the
6 types of personal, professional, and business relationships that must be disclosed pursuant to
7 this Section 3.214 and how the required disclosure must be made and archived.

8 9 **SEC. 3.216. BRIBERY AND GIFTS.**

10 (a) **Prohibition on Bribery.** ~~No person shall offer or make, and no officer or employee shall~~
11 ~~accept, any gift with the intent that the City officer or employee will be influenced thereby in the~~
12 ~~performance of any official act.~~

13 (1) No City officer or employee shall solicit for the benefit of any person, or accept,
14 anything of value or contribution from any person, with the intent that the City officer or employee will
15 be influenced or rewarded thereby in the performance of any official act.

16 (2) No person shall offer, provide, or agree to provide anything of value or contribution
17 to any person, with intent to influence or reward thereby any City officer or employee in the
18 performance of any official act.

19 (b) ~~General gift restrictions~~ **Restricted Source Rules.** In addition to the gift limits,
20 prohibitions, and reporting requirements imposed by the Political Reform Act and this Code
21 and any subsequent amendments thereto, the following shall be prohibited: ~~no officer or~~
22 ~~employee of the City and County shall solicit or accept any gift or loan from a person who the officer~~
23 ~~or employee knows or has reason to know is a restricted source, except loans received from~~
24 ~~commercial lending institutions in the ordinary course of business.~~

25
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1 (1) No City officer or employee may solicit, coordinate, facilitate, or accept, any gift for
2 themselves or for any other City officer or employee from a person who the officer or employee knows
3 or has reason to know is a restricted source for themselves or for the recipient of the gift.

4 (2) No City officer or employee may solicit or accept a gift from any person, including
5 any gift obtained through a City department, if the officer or employee knows or has reason to know
6 that the gift was funded, provided, or directed by a restricted source.

7 (3) No City officer or employee may solicit or accept any gift from a restricted source
8 for any of their family members.

9 (4) No lobbyist or permit consultant may offer or make a gift to any officer or employee,
10 or any of the officer's or employee's family members, nor direct the offer or making of any gift by any
11 other person, if the lobbyist or permit consultant knows or has reason to know that they are a restricted
12 source for the officer or employee. For purposes of this subsection (b)(4), a person who is required to
13 register as a lobbyist or permit consultant and file disclosures but fails to do so shall be considered a
14 restricted source for any official for whom, had the person properly registered and file disclosures, the
15 person would be considered a restricted source.

16 (5) No lobbyist or permit consultant may make a payment to an intermediary, including
17 any City department, if the lobbyist or permit consultant knows or has reason to know that the
18 intermediary will use the payment to provide a gift to any City officers or employees and that they are a
19 restricted source for the officers or employees.

20 (6) No person may accept or use a payment on condition or with the agreement or
21 mutual understanding that the payment will be used for a gift to an officer or employee, if the person
22 knows or has reason to know that the source of the payment is a restricted source for the officer or
23 employee.

24 ~~(1) **Restricted Source.** For purposes of this section, a restricted source means: (A) a~~
25 ~~person doing business with or seeking to do business with the department of the officer or employee; or~~

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 ~~(B) a person who during the prior 12 months knowingly attempted to influence the officer or employee~~
2 ~~in any legislative or administrative action.~~

3 ~~(2) **Gift.** For purposes of this subsection, the term gift has the same meaning as under~~
4 ~~the Political Reform Act, California Government Code Section 81000 et seq., and the regulations~~
5 ~~adopted thereunder, including any subsequent amendments. Gifts exempted from the limits imposed by~~
6 ~~California Government Code Section 89503 and Section 3.1-101 of the Campaign and Governmental~~
7 ~~Conduct Code shall also be exempted from the prohibition set forth in this subsection.~~

8 ~~(3) (7) **Regulations.** The Ethics Commission shall may issue regulations~~
9 ~~implementing this section Section 3.216, including regulations exempting voluntary certain gifts~~
10 ~~that are nominal in value such as gifts that are given by vendors to clients or customers in the normal~~
11 ~~course of business.~~

12 (c) **Gifts and Loans from Subordinates.** No officer or employee shall solicit or accept
13 any gift or loan, either directly or indirectly, from any subordinate or employee under ~~his or her~~
14 ~~their~~ supervision or from any candidate or applicant for a position as a subordinate or
15 employee under ~~his or her~~ ~~their~~ supervision. The Ethics Commission shall may issue
16 regulations implementing this Section 3.216, including regulations exempting ~~voluntary certain~~
17 gifts that are given ~~or received for special occasions or under other~~ under circumstances in which
18 gifts are traditionally given or exchanged.

19 * * * *

20 (e) **Restrictions.** Nothing in this section 3.216 shall prohibit a City department,
21 agency, board, or commission from imposing additional gift restrictions on its officers or
22 employees.

23 (f) **Aggregation of Gifts.** For purposes of this Section 3.216, gifts shall be aggregated as set
24 forth in California Code of Regulations, Title 2, Section 18945.1, as amended from time to time.

25
CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 **SEC. 3.217. DISCLOSURE OF GIFTS TO THE CITY.**

2 **(a) Disclosure Requirement.** *Any department head whose City department receives any*
3 *payment from a non-City source for which equal or greater consideration is not provided by the*
4 *department must disclose the payment to the Ethics Commission. A department head who fails to timely*
5 *report any such payment, or, if the department head has delegated the filing responsibility to a*
6 *subordinate, whose subordinate fails to timely report any such payment, may be subject to discipline by*
7 *the department head's appointing authority but shall not be subject to penalties under Section 3.242.*

8 **(b) Contents.** *The disclosure required in subsection (a) must include the following:*

- 9 *(1) the name of the source of the payment;*
10 *(2) the date of the payment;*
11 *(3) the total value of the payment;*
12 *(4) if the payment includes goods or services, a description of the goods or services;*
13 *(5) the purpose and use of the payment;*
14 *(6) the name of any City officer or employee that receives a personal benefit from the*
15 *gift or through the City's use of the gift;*
16 *(7) a description and valuation of the personal benefits received by any City officer or*
17 *employee through the department's use of the gift;*
18 *(8) a description of any contract that the payor has with the department;*
19 *(9) a description of any license, permit, or other entitlement for use that the payor is*
20 *currently seeking from the department or has been issued by the department within the last 12 months*
21 *to the payor; and*
22 *(10) a description of any financial interest the payor has involving the City.*

23 **(c) Deadline for Initial Filing.** *The disclosure required in subsection (a) must be filed no later*
24 *than the fifteenth calendar day following the end of the month in which the payment was received by the*
25 *department.*

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 (d) **Supplemental Filings.** If any of the information disclosed by the department head in the
2 initial filing made pursuant to subsection (c) changes after the time of the initial filing, the department
3 head must submit a supplemental filing within 30 days that describes those changes.

4 (e) **Form.** The disclosures required by this Section 3.217 must be made in a form and format
5 prescribed by the Ethics Commission and may include an electronic format.

6 (f) **Exception – Payments from Government Agencies.** Payments from local, state, and
7 federal government agencies to City departments are not subject to the disclosures required in this
8 Section 3.217.

10 **SEC. 3.218. INCOMPATIBLE ACTIVITIES.**

11 ~~(a) **Prohibition.** No officer or employee of the City and County may engage in any~~
12 ~~employment, activity, or enterprise that the department, board, commission, or agency of which he or~~
13 ~~she is a member or employee has identified as incompatible in a statement of incompatible activities~~
14 ~~adopted under this Section. No officer or employee may be subject to discipline or penalties under this~~
15 ~~Section unless he or she has been provided an opportunity to demonstrate that his or her activity is not~~
16 ~~in fact inconsistent, incompatible or in conflict with the duties of the officer or employee.~~

17 ~~(b) **Statement of Incompatible Activities.** Every department, board, commission, and agency~~
18 ~~of the City and County shall, by August 1 of the year after which this Section becomes effective, submit~~
19 ~~to the Ethics Commission a statement of incompatible activities. No statement of incompatible~~
20 ~~activities shall become effective until approved by the Ethics Commission after a finding that the~~
21 ~~activities are incompatible under the criteria set forth in Subsection (c). After initial approval by the~~
22 ~~Ethics Commission, a department, board, commission or agency of the City and County may, subject to~~
23 ~~the approval of the Ethics Commission, amend its statement of incompatible activities. The Ethics~~
24 ~~Commission may, at any time, amend the statement of incompatible activities of any department, board,~~
25 ~~commission or agency of the City and County.~~

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 ~~(c) **Required Language.** Each statement of incompatible activities shall list those outside~~
2 ~~activities that are inconsistent, incompatible, or in conflict with the duties of the officers and employees~~
3 ~~of the department, board, commission, or agency of the City and County. This list shall include, but~~
4 ~~need not be limited to, activities that involve: (1) the use of the time, facilities, equipment and supplies~~
5 ~~of the City and County; or the badge, uniform, prestige, or influence of the City and County officer or~~
6 ~~employee's position for private gain or advantage; (2) the receipt or acceptance by an officer or~~
7 ~~employee of the City and County of any money or other thing of value from anyone other than the City~~
8 ~~and County for the performance of an act that the officer or employee would be required or expected to~~
9 ~~render in the regular course of his or her service or employment with the City and County; (3) the~~
10 ~~performance of an act in a capacity other than as an officer or employee of the City and County that~~
11 ~~may later be subject directly or indirectly to the control, inspection, review, audit or enforcement of the~~
12 ~~City and County officer or employee's department, board, commission or agency; and (4) time demands~~
13 ~~that would render performance of the City and County officer or employee's duties less efficient. The~~
14 ~~Ethics Commission may permit City boards and commissions to exclude any required language from~~
15 ~~their statement of incompatible activities if their members, by law, must be appointed in whole or in~~
16 ~~part to represent any profession, trade, business, union or association.~~

17 ~~(d) **Meet and Confer.** No statement of incompatible activities or any amendment thereto shall~~
18 ~~become operative until the City and County has satisfied the meet and confer requirements of State law.~~

19 ~~(e) **Notice.** Every department, board, commission and agency of the City and County shall~~
20 ~~annually provide to its officers and employees a copy of its statement of incompatible activities.~~

21 ~~(f) **Existing Civil Service Rules.** Rules and Regulations relating to outside activities previously~~
22 ~~adopted or approved by the Civil Service Commission shall remain in effect until statements of~~
23 ~~incompatible activities are adopted pursuant to this Section.~~

24 (a) **Prohibitions.** City officers and employees shall not engage in the following activities:
25

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 (1) Activities Subject to the Department's Jurisdiction. City officers and employees
2 shall not engage in activities that are subject to the control, inspection, review, audit, permitting,
3 enforcement, contracting, or are otherwise within the responsibility of the officer or employee's
4 department. But City officers and employees may engage in certain activities including, but not limited
5 to, the following: being a party to a matter before or otherwise appearing before one's own department
6 or commission on behalf of oneself or one's immediate family, filing or otherwise pursuing claims
7 against the City on one's own behalf, making a public records disclosure request or other request for
8 information as permitted by law, attending and participating in a meeting of a board, commission, or
9 other policy body under the Brown Act or Sunshine Ordinance, and engaging in non-compensated,
10 volunteer activity for a nonprofit organization with tax exempt status under 26 United States Code
11 Section 501(c)(3) or 501(c)(5). Incompatible activities prohibited by this subsection (a)(1) shall
12 include, but are not limited, to the following:

13 (A) contracting with one's own department or having a financial interest in or
14 serving on the board of directors for an entity that contracts with one's own department (but this
15 prohibition shall not extend to any entity solely because an officer or employee's spouse or registered
16 domestic partner has a financial interest in the entity or serves as a member of its board of directors);

17 (B) acquiring an ownership interest in real property, if the officer or employee
18 had participated personally and substantially in the permitting or inspection of that property within the
19 12 months prior to the acquisition; and

20 (C) having or acquiring a financial interest in any financial products issued or
21 regulated by the officer or employee's department.

22 (2) Selective Assistance. City officers and employees shall not provide assistance or
23 advice that is not generally available to all persons, in a manner that confers an advantage on any
24 person who is doing business or seeking to do business with the City. This subsection (a)(2) shall not
25 prohibit an officer or employee from communicating with individual applicants regarding the

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 individual's application, bid, or proposal, provided that such assistance is provided on an impartial
2 basis to all applicants who request it and is part of the officer or employee's City duties.

3 (3) Use of City Resources. City officers and employees shall not engage in the use,
4 other than minimal or incidental use, of the time, facilities, equipment, or supplies of the City for
5 private gain or advantage. Nothing in this subsection (a)(3) shall be interpreted or applied to interfere
6 with, restrict, or supersede any rights or entitlements of employees, recognized employee organizations,
7 or their members under state law or regulation or pursuant to provisions of a collective bargaining
8 agreement to use City facilities, equipment, or resources.

9 (4) Use of Prestige of Office. City officers and employees shall not engage in the use of
10 any marker (including without limitation a badge, uniform, or business card), prestige, or influence of
11 the City officer or employee's position for private gain or advantage.

12 (5) Use of City Work Product. City officers and employees shall not sell, publish, or
13 otherwise use, in exchange for anything of value and without appropriate authorization, any non-public
14 materials that were prepared on City time or while using City facilities, property (including without
15 limitation, intellectual property), equipment, or other materials. Nothing in this subsection (a)(5) shall
16 be interpreted or applied to interfere with, restrict, or supersede any rights or entitlements of
17 employees, recognized employee organizations, or their members under state law or regulation or
18 pursuant to provisions of a collective bargaining agreement to use public materials for collective
19 bargaining agreement negotiations.

20 (6) Acting as an Unauthorized City Representative. City officers and employees shall
21 not hold themselves out as a representative of their departments, or as an agent acting on behalf of
22 their departments, unless authorized to do so, including the use of City letterhead, title, e-mail, business
23 card, or any other resource for any communication that may lead the recipient of the communication to
24 think that the officer or employee is acting in an official capacity when the officer or employee is not.
25

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1 **(7) Compensation for City Duties or Advice.** *City officers and employees shall not*
2 *receive or accept a payment from anyone other than the City for the performance of a specific service*
3 *or act the officer or employee would be expected to render or perform in the regular course of their*
4 *City duties or for advice about the processes of the City directly related to the officer or employee's*
5 *duties and responsibilities or the processes of the officer or employee's department.*

6 **(8) Lobbying Activity.** *City officers and employees shall not receive or accept a*
7 *payment from anyone other than the City in exchange for communicating with any other City officer or*
8 *employee within their own department with the intent to influence an administrative or legislative*
9 *action.*

10 **(b) Excessive Time Demands or Regular Disqualifications.** *No City appointed department*
11 *head or employee may engage in any activity that either imposes excessive time demands such that it*
12 *materially impairs the appointed department head's or employee's performance of their City duties or*
13 *that disqualifies the appointed department head or employee from their City assignments or*
14 *responsibilities on a regular basis.*

15 **(1) Advance Written Determination.** *An appointed department head or employee may*
16 *seek an advance written determination from the decision-maker specified in subsection (b)(2) below as*
17 *to whether a proposed outside activity would impose excessive time demands or require regular*
18 *disqualifications and would therefore be prohibited under this subsection (b).*

19 **(2) Decision-Maker.**

20 **(A)** *For a request by an employee, the department head of the employee's*
21 *department or the department head's designee shall be the decision-maker on a request for an advance*
22 *written determination. If the department head delegates the decision-making to a designee and if the*
23 *designee determines that the proposed activity imposes excessive time demands or results in regular*
24 *disqualifications, the employee may appeal that determination to the department head.*

25
CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 (B) For a request by an appointed department head, the department head's
2 appointing authority shall be the decision-maker on a request for an advance written determination.

3 (C) The decision-maker shall respond to the request by providing a written
4 determination to the requestor by mail, email, personal delivery, or other reliable means. For a request
5 by an employee, the decision-maker shall provide the determination within a reasonable period of time
6 depending on the circumstances and the complexity of the request, but not later than 20 working days
7 from the date of the request. If the decision-maker does not provide a written determination to the
8 employee within 20 working days from the date of the employee's request, the proposed activity will be
9 determined not to violate this Subsection 3.218(b).

10 (3) **Effect.** An advance written determination approved by the appropriate decision-
11 maker that an activity does not impose excessive time demands or require regular disqualifications
12 provides the officer or employee immunity from any subsequent enforcement action for a violation of
13 subsection (b) if the material facts are as presented in the appointed department head or employee's
14 request for an advance written determination. An advance written determination cannot exempt the
15 requestor from any other applicable laws.

16 (4) **Public Records.** Requests for advance written determinations and advance written
17 determinations, including approvals and denials, are public records.

18 (c) **Statements of Incompatible Activities.** Statements of Incompatible Activities adopted and
19 approved prior to November 8, 2022 are hereby repealed and shall no longer have any legal effect. Any
20 administrative or disciplinary proceedings initiated prior to the repeal of a Statement of Incompatible
21 Activities alleging violations of the Statement of Incompatible Activities may continue.

22 23 **SEC. 3.242. PENALTIES AND ENFORCEMENT.**

24 (a) **Criminal Penalties.** Any person who knowingly or willfully violates ~~any of the City's~~
25 ~~conflict of interest and governmental ethics laws~~ this Chapter 2 shall be guilty of a misdemeanor

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 and upon conviction thereof shall be punished by a fine of not more than \$10,000 for each
2 violation or by imprisonment in the County jail for a period of not more than one year in jail or
3 by both such fine and imprisonment.

4 (b) **Civil Penalties.** Any person who intentionally or negligently violates ~~any City~~
5 ~~conflict of interest or governmental ethics law~~ this Chapter 2 shall be liable in a civil action brought
6 by the City Attorney for an amount up to \$5,000 for each violation.

7 (c) **Injunctive Relief.** The City Attorney or any San Francisco resident may bring a
8 civil action on behalf of the people of San Francisco to enjoin violations of or compel
9 compliance with ~~a conflict of interest or governmental ethics law~~ this Chapter 2.

10 (1) No resident may commence a civil action under this Section 3.242 without
11 first notifying the City Attorney in writing of the intent to file a civil action under this
12 Section 3.242. If the City Attorney fails to notify the resident within 120 days of receipt
13 of the notice that the City Attorney has filed or will file a civil action, the complainant
14 may file the action. No resident may file an action under this Section 3.242 if the City
15 Attorney responds within 120 days that the City Attorney intends to file an action or has
16 already filed a civil action.

17 (2) No resident may bring an action under this Section 3.242 if the Ethics
18 Commission has issued a finding of probable cause arising out of the same facts, the
19 District Attorney has commenced a criminal action arising out of the same facts, or
20 another resident has filed a civil action under this Section 3.242 arising out of the same
21 facts.

22 (3) A court may award reasonable attorney's fees and costs to any resident who
23 obtains injunctive relief under this Section 3.242.

24 (d) **Administrative Penalties.** Any person who violates ~~any of the City's conflict of~~
25 ~~interest or governmental ethics laws~~ this Chapter 2 shall be liable in an administrative proceeding

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 before the Ethics Commission held pursuant to the Charter. In addition to the administrative
2 penalties set forth in the Charter, the Ethics Commission may issue warning letters to City
3 officers and employees.

4 (e) **Statute of Limitations.** No person may bring a criminal, civil or administrative
5 action under this Section 3.242 against any other person more than four years after the date of
6 the alleged violation.

7
8 **SEC. 3.243. ELECTRONIC FILING OF DISCLOSURES.**

9 The Ethics Commission may require electronic filing of any disclosure required under this
10 Chapter.

11
12 Section 5. The voters hereby re-authorize and re-enact in its entirety Article III,
13 Chapter 3 of the Campaign and Governmental Conduct Code, and add Section 3.303 to
14 Article III, Chapter 3, to read as follows:

15 [SECTIONS REMOVED FOR DISCUSSION VERSION
16 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

17 **SEC. 3.303. AMENDMENT OR REPEAL OF THIS CHAPTER.**

18 The voters may amend or repeal this Chapter 3. The Board of Supervisors may amend this
19 Chapter 3 if all of the following conditions are met:

- 20 (a) The amendment furthers the purposes of this Chapter;
21 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
22 fifths vote of all its members;
23 (c) The proposed amendment is available for public review at least 30 days before the
24 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;
25 and

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
2 all its members.

3
4 Section 6. The voters hereby re-authorize and re-enact in its entirety Article III,
5 Chapter 4 of the Campaign and Governmental Conduct Code, in the process rewording
6 subsection (b) of Section 3.415, deleting former Section 3.420, and adding new Sections
7 3.403 and 3.420, to read as follows:

8 [SECTIONS REMOVED FOR DISCUSSION VERSION
9 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

10 **SEC. 3.403. AMENDMENT OR REPEAL OF THIS CHAPTER.**

11 The voters may amend or repeal this Chapter 4. The Board of Supervisors may amend this
12 Chapter 4 if all of the following conditions are met:

13 (a) The amendment furthers the purposes of this Chapter;

14 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
15 fifths vote of all its members;

16 (c) The proposed amendment is available for public review at least 30 days before the
17 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;
18 and

19 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
20 all its members.

21 [SECTIONS REMOVED FOR DISCUSSION VERSION
22 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

23 **SEC. 3.415. PENALTIES AND ENFORCEMENT.**

24 (a) If any permit consultant fails to submit any information required by this Chapter
25 after any applicable deadline, the Ethics Commission shall, in addition to any other penalties

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1 or remedies established in this Chapter, impose a late filing fee of \$50 per day after the
2 deadline until the information is received by the Ethics Commission. The Executive Director
3 of the Ethics Commission may reduce or waive a late filing fee if the Executive Director
4 determines that the late filing was not willful and that enforcement will not further the purposes
5 of this Chapter. The Ethics Commission shall deposit funds collected under this Section in the
6 General Fund of the City and County of San Francisco.

7 (b) Any person who ~~knowingly or negligently~~ violates this Chapter may be liable in an
8 administrative proceeding before the Ethics Commission pursuant to Charter Section C3.699-
9 13. In addition to the administrative penalties set forth in the Charter, the Ethics Commission
10 may issue warning letters regarding potential violations of this Chapter to the permit
11 consultant.

12 (c) Any person or entity which knowingly or negligently violates this Chapter may be
13 liable in a civil action brought by the City Attorney for an amount up to \$5,000 per violation.
14

15 ~~**SEC. 3.420. ETHICS COMMISSION REPORT.**~~ **SEC. 3.420. ELECTRONIC FILING OF**
16 **DISCLOSURES.**

17 ~~*Between April 1 and April 15, 2016 and between April 1 and April 15, 2017, the Ethics*~~
18 ~~*Commission shall provide a report to the Board of Supervisors regarding the implementation of*~~
19 ~~*Sections 3.405 through 3.415. The report shall include, but not be limited to, the total number of*~~
20 ~~*registered permit consultants, the total number of investigations commenced by the Ethics Commission*~~
21 ~~*into possible violations of the registration and disclosure requirements, and a summary of each*~~
22 ~~*settlement reached with permit consultants for violating the registration or disclosure requirements.*~~
23 *The Ethics Commission may require electronic filing of any disclosure required under this Chapter 4.*
24
25

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1 Section 7. The voters hereby re-authorize and re-enact in its entirety Article III,
2 Chapter 5 of the Campaign and Governmental Conduct Code, in the process rewording
3 subsection (b) of Section 3.530, and add Sections 3.505 and 3.525 to Article III, Chapter 5, to
4 read as follows:

5 [SECTIONS REMOVED FOR DISCUSSION VERSION
6 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

7 **SEC. 3.505. AMENDMENT OR REPEAL OF THIS CHAPTER.**

8 The voters may amend or repeal this Chapter 5. The Board of Supervisors may amend this
9 Chapter 5 if all of the following conditions are met:

10 (a) The amendment furthers the purposes of this Chapter;

11 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
12 fifths vote of all its members;

13 (c) The proposed amendment is available for public review at least 30 days before the
14 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;
15 and

16 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
17 all its members.

18 [SECTIONS REMOVED FOR DISCUSSION VERSION
19 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

20 **SEC. 3.525. ELECTRONIC FILING OF DISCLOSURES.**

21 The Ethics Commission may require electronic filing of any disclosure required under this
22 Chapter 5.

23
24 **SEC. 3.530. PENALTIES AND ENFORCEMENT.**

25
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1 (a) If any developer fails to submit any information required by this Chapter after any
2 applicable deadline, the Ethics Commission shall, in addition to any other penalties or
3 remedies established in this Chapter, impose a late filing fee of \$50 per day after the deadline
4 until the information is received by the Ethics Commission. The Executive Director of the
5 Ethics Commission may reduce or waive a late filing fee if the Executive Director determines
6 that the late filing was not willful and that enforcement will not further the purposes of this
7 Chapter. The Ethics Commission shall deposit funds collected under this Section in the
8 General Fund of the City and County of San Francisco.

9 (b) Any person who ~~knowingly and negligently~~ violates this Chapter, including but not
10 limited to, by providing inaccurate or incomplete information, may be liable in an
11 administrative proceeding before the Ethics Commission pursuant to Charter Section C3.699-
12 13. In addition to the administrative penalties set forth in the Charter, the Ethics Commission
13 may issue warning letters regarding potential violations of this Chapter.

14 (c) Any person or entity which knowingly or negligently violates this Chapter may be
15 liable in a civil action brought by the City Attorney for an amount up to \$5,000 per violation, or
16 three times the amount not properly reported, whichever is greater.

17 (d) In investigating any alleged violation of this Chapter the Ethics Commission and
18 City Attorney shall have the power to inspect all documents required to be maintained under
19 this Chapter. This power to inspect documents is in addition to other powers conferred on the
20 Ethics Commission and City Attorney by the Charter or by ordinance, including the power of
21 subpoena.

22 (e) Should two or more persons be responsible for any violation under this Chapter,
23 they may be jointly and severally liable.
24
25

CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

1 Section 8. The voters hereby re-authorize and re-enact in its entirety Article IV,
2 Chapter 1 of the Campaign and Governmental Conduct Code, and add Section 4.103 to
3 Article IV, Chapter 1, to read as follows:

4 [SECTIONS REMOVED FOR DISCUSSION VERSION
5 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

6 **SEC. 4.103. AMENDMENT OR REPEAL OF THIS CHAPTER.**

7 The voters may amend or repeal this Chapter 1. The Board of Supervisors may amend this
8 Chapter 1 if all of the following conditions are met:

9 (a) The amendment furthers the purposes of this Chapter;

10 (b) The Ethics Commission approves the proposed amendment in advance by at least a four-
11 fifths vote of all its members;

12 (c) The proposed amendment is available for public review at least 30 days before the
13 amendment is considered by the Board of Supervisors or any committee of the Board of Supervisors;
14 and

15 (d) The Board of Supervisors approves the proposed amendment by at least a two-thirds vote of
16 all its members.

17 [SECTIONS REMOVED FOR DISCUSSION VERSION
18 SEE FULL VERSION FOR ALL TEXT BEING STRIKEN AND REAUTHORIZED]

19 Section 9. Effective and Operative Dates.

20 (a) Effective Date. The effective date of this ordinance shall be ten days after the date
21 the official vote count is declared by the Board of Supervisors.

22 (b) Operative Date. The operative date of this ordinance shall be six months after the
23 effective date of this ordinance.

24
25
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1 Section 10. Scope of Ordinance. In enacting this ordinance, the People of the City
2 and County of San Francisco intend to amend only those words, phrases, paragraphs,
3 subsections, sections, articles, numbers, punctuation marks, charts, diagrams, or any other
4 constituent parts of the Municipal Code that are explicitly shown in this ordinance as additions,
5 deletions, Board amendment additions, and Board amendment deletions in accordance with
6 the “Note” that appears under the official title of the ordinance.

7
8 [need to insert signature block]
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CONDENSED VERSION FOR DISCUSSION PURPOSES ONLY

Attachment 5

Attachment 5: Overview of Updates for February Versions

Revisions Made to Proposed Ballot Measure Since December 2021 – 2/7/22

Section Amended	Description of Change Made
2.115	<i>Non-substantive.</i> The subsection covering regulations had been mis-lettered as “(h)” – it has been corrected to now be “(g).”
2.155	<i>Non-substantive.</i> This chapter is being reauthorized in its entirety in order to amend the amendment provisions of the chapter. This section previously misreferenced the “Board of Supervisors” as taking action. This reference to the Board has been replaced with language specifying that the “voters” would be the ones reauthorizing the chapter if the measure were to pass, not the Board of Supervisors.
3.1-102	<i>Non-substantive.</i> Per Commissioner suggestion, a penalty provision was added directly to this section. In the previous version, this section used the penalty provision found in SEC. 3.242.
3.1-102.5(c)	<i>Non-substantive.</i> Per Commissioner suggestion, a penalty provision was added to this subsection. In the previous version, this section used the penalty provision found in SEC. 3.242. The previous version also associated penalties with subsections (a) and (b), when they should have been associated with (c).
3.203	<i>Clarifying.</i> Per the Deputy City Attorney’s recommendation, the definition of “anything of value” is amended to exclude campaign contributions.
3.216(a)	<i>Clarifying.</i> Per the Deputy City Attorney’s recommendation, the bribery rule is amended to specify that campaign contributions can be considered a bribe.
3.216(b)(4)	<i>Clarifying.</i> Added clarifying language to prohibit a restricted source from directing another person to make a gift to a restricted source. This change clearly prohibits a restricted source from directing an entity to make a gift to a City official if they are a restricted source for that official.
3.216(b)(6)	<i>Clarifying.</i> Per Commissioner suggestion, this subsection was amended to explicitly prohibit the use of a payment by an intermediary, not just the acceptance of the gift by the intermediary.
3.217	<i>Substantive – Prior penalty removed.</i> As a proposal to address concerns raised through the meet and confer process, the language subjecting department heads to administrative penalties for failure to comply with this section has been removed. However, the department head’s appointing authority may still impose discipline for failure to comply with the disclosure requirement in this section.
3.218(a)(1)	<i>Substantive – New exemption.</i>

	Per Commissioner suggestion, the prohibition on City officials engaging in activities subject to their department's jurisdiction has been amended to exempt non-compensated, volunteer activity for nonprofit organizations.
3.218(a)(3)	<i>Clarifying.</i> Language added to the prohibition on City officials use of City resources, to specify that this prohibition does not prohibit the otherwise allowable use of City resources for collective bargaining purposes.
3.218(a)(5)	<i>Clarifying.</i> Language added to the prohibition on City officials use of City work product, to specify that this prohibition does not prohibit the otherwise allowable use of City work product for collective bargaining purposes.
3.242	<i>Clarifying.</i> Per Commissioner suggestion, the penalty language in this section was clarified to apply to all of Chapter 2, not just to violations of "the City's conflict of interest and governmental ethics laws."
3.420	<i>Non-substantive.</i> The previous version of this section was being reauthorized as it currently appears in the Code, however this section dealt with the filing of reports by the Ethics Commission in 2016 and 2017 on the implementation the Chapter. This language is no longer necessary, and the section on electronic filing of disclosures (in 3.425 in the previous draft ordinance) now appears in 3.420.
3.425	<i>Non-substantive.</i> Section no longer needing, as the content of this section (on electronic filing) has been moved to 3.420.

Revisions Made to Proposed Regulations Since December 2021 – 2/7/22

Regulation Amended	Description of Change Made
3.216(b)-2	<i>Clarifying.</i> Regulation defining "knowingly attempted to influence the officer or employee in any legislative or administrative action" is shown amended to clarify that comments "made at a public forum or rally" and those "made via petition or social" are not considered attempts to influence for the purpose of the restricted source rule. Individuals from nonprofit organizations felt it was important to explicitly exempt these types of communication from the definition of attempt to influence.
3.216(b)-5(a)	<i>Substantive – Exemption broadened.</i> Revises the proposed gift exemption for routine office courtesies, by raising the aggregate value to \$15 or less per occasion. This was done in response to concerns raised by members of nonprofit organizations that the \$10 exemption initially proposed was too low.
3.216(b)-5(m)	<i>Substantive – Exemption added.</i> Adds a gift exemption for tickets to fundraiser events hosted by nonprofit organizations, so long as event attendance is necessary for the official to carry out

	their City duties. This exemption came out of concerns raised through the meet and confer process, as well as by individuals from nonprofit organizations.
3.216(b)-5(n)	<i>Substantive – Exemption added.</i> Adds a gift exemption for tickets to arts exhibits, performances, athletic events, and sporting events, so long as event attendance is necessary for the official to carry out their City duties. This exemption came out of concerns raised through the meet and confer process, as well as by individuals from nonprofit organizations.
3.216(b)-5(o)	<i>Substantive – Exemption added.</i> Adds a gift exemption for personalized plaques or trophies, valued at less than \$250, limited to one per year, per restricted source. Individuals from nonprofit organizations expressed the importance of being able to occasionally give such gifts to City officials.
3.216(b)-6	<i>Substantive.</i> Specifies that the application for approval of a license, permit, or other entitlement for use shall not be deemed “doing business with the department” if the approval of such item is solely ministerial, secretarial, manual, or clerical. This regulation came out of concerns raised through the meet and confer process.