



# San Francisco Ethics Commission

**STATEMENT OF ECONOMIC INTERESTS – FORM 700  
2017 ANNUAL FILING**

**Filing Officer Information Session**

**03/08/17**

# AGENDA

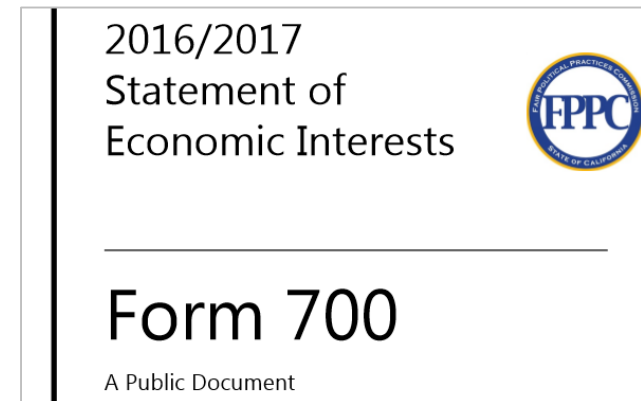
- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- Policy Updates
- Q&A

# **OVERVIEW**

## **Statement of Economic Interests**

# STATEMENT OF ECONOMIC INTERESTS - FORM 700

- Political Reform Act
- Why Statement of Economic Interests Form 700s are filed
- How Form 700 disclosure supports Transparency and Accountability



## WHO FILES FORM 700?

- Elected Officials, Departments Heads, Board Members and Commissioners
- Designated Employees

Learn more online:

[San Francisco Campaign & Governmental Conduct Code](#)

# FILING REQUIREMENTS AND DUE DATES

- Assuming Office – Within 30 days
- Annual – Apr 3<sup>rd</sup> 2017\*
- Leaving Office – Within 30 days

\***Exception:** If you assumed office between Oct 1 2016 and March 31 2017, and filed an assuming office Form 700, you do not need to file annual Form 700 in 2017.

Learn more online:  
[Form 700 Filing Deadlines page](#)

# ETHICS & SUNSHINE TRAINING

For Elected Officials, Departments Heads, Board Members and Commissioners

- Sunshine Ordinance Declaration - Due Apr 3<sup>rd</sup> 2017
- Certificate of Ethics Training – Due every two years

Learn more online:  
[Ethics and Sunshine Training page](#)

# FILING 2017 ANNUAL FORM 700 ELECTRONICALLY

Elected Officials, Departments Heads, Board Members and Commissioners

- Login to the Ethics Commission E-filing system (NetFile)
- Complete and submit the form online by due date



Learn more online:  
[2017 Annual Form 700 Filing Requirements page](#)



# FILING 2017 ANNUAL FORM 700 ON PAPER

## Designated Employees

- Print and complete hard copy Form 700
- Submit the completed form to the Filing Officer by due date

The image shows the cover page of California Form 700, titled 'STATEMENT OF ECONOMIC INTERESTS COVER PAGE'. The form is from the 'CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION A PUBLIC DOCUMENT'. It includes a 'Date Initial Filing Received Official Use Only' field. The 'NAME OF FILER' section has fields for (LAST), (FIRST), and (MIDDLE). Section 1, 'Office, Agency, or Court', includes fields for 'Agency Name (Do not use acronyms)', 'Division, Board, Department, District, if applicable', and 'Your Position'. A note indicates that if filing for multiple positions, they should be listed below or on an attachment. Section 2, 'Jurisdiction of Office (Check at least one box)', includes checkboxes for State, Multi-County, City of, Judge or Court Commissioner (Statewide Jurisdiction), and County of. Section 3, 'Type of Statement (Check at least one box)', is partially visible.

Learn more online:

[2017 Annual Form 700 Filing Requirements page](#)

# PUBLIC ACCESS TO FILED FORMS

- Form 700 statements filed electronically
  - Available at [Form 700 Online Disclosure](#) (with limited redactions)
  - Un-redacted forms are accessible to the public on request at the Ethics Commission
- Form 700 statements filed on paper
  - Retained with departmental filing officers and are accessible to the public on request
- Sunshine Ordinance Declarations and Certificates of Ethics Training
  - Available at [Online Disclosure](#) (with limited redactions)
  - Un-redacted forms are accessible to the public on request at the Ethics Commission

# **FILING OFFICER DUTIES**

# FIRST THINGS FIRST!

- Update your department contact information
  - Department Head
  - Filing Officer
- Know Who Files
  - Conflict of Interest Code
  - Disclosure Category

Learn more online:

[San Francisco Campaign & Governmental Conduct Code](#)

# DISTRIBUTE FORMS TO FILERS

- Form 700 – Paper, Electronic
- Sunshine Ordinance Declaration
- Certificate of Ethics Training
  - How to know who's due for training
  - How to look it up in NetFile

Learn more online:  
[Filing Officer Duties](#)

## COLLECT AND RETAIN COMPLETED FORMS

- Collect and retain filings from the designated employees
- Assist filers with questions regarding filing requirements
- For individual assistance request filers to contact the Ethics Commission

Learn more online:  
[Filing Officer Duties](#)

# FILING OFFICER FORMS TO ETHICS COMMISSION

- Certification of Delivery – Due Wednesday March 15, 2017
- Filing Officer Report – Due Monday April 10, 2017

Learn more online:  
[Filing Officer Duties](#)

## YEAR-ROUND DUTIES

- All filers are required to file assuming and leaving office Form 700
- Notice of Appointment & Resignation form
  - Required only for elected officials, board members, commissioners and department heads
  - Submit Notice to the Ethics Commission (include only **business** contact information for the filer)
  - Forward E-filing instructions to the filer

Learn more online:  
[Filing Officer Duties](#)



## LATE FILING AND ENFORCEMENT

- No provision in the law to extend Form 700 due dates
- Late fees of \$10/day up to a \$100 for each required filing
- Non-filers may be subject to disciplinary and/or enforcement actions with potential fines of up to \$5,000 per violation

Learn more online:  
[Late Filing and Enforcement page](#)

## AMENDMENTS TO FILED FORM 700

- Amend the form electronically or on paper depending on the original filing
- Amendments can be made to current or prior years' filings

Learn more online:  
[How to File Form 700](#)

# FILING SUPPORT & RESOURCES

- Filer Information Session – Friday, March 10<sup>th</sup> 2PM – 3PM, 25 Van Ness, Suite 70
  - RSVP: [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org)
- Individual Assistance
  - Filing Officer for the department
  - Ethics Commission – [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org) or (415) 252-3100
  - Fair Political Practices Commission (FPPC) - (866) 275-3772 (866-ASK-FPPC)
  - Deputy City Attorney assigned to your department
- Online Resources
  - Ethics Commission website - [www.sfethics.org](http://www.sfethics.org)
  - Fair Political Practices Commission website - [www.fppc.ca.gov/Form700.html](http://www.fppc.ca.gov/Form700.html)

# VISIT OUR NEW WEBSITE – SFETHICS.ORG

The screenshot shows the homepage of the City & County of San Francisco Ethics Commission. The top navigation bar includes links for Commission, Compliance, Disclosures, Enforcement, Laws, and E-File, along with a search icon. The main banner features a large image of an alarm clock and the text: "It's Statement of Economic Interests Filing Time. Form 700s for City officers & designated employees are due April 3, 2017." A green "Start Here" button is prominently displayed. Below the banner are four service tiles: "GET GUIDANCE" (Request ethics advice), "E-FILE STATEMENTS" (Submit disclosures online), "VIEW DISCLOSURES" (Search statements & data), and "FILE A COMPLAINT" (Report violations of ethics laws). At the bottom, there are sections for "Meetings", "News", and "Get Interested Persons Updates".

This screenshot displays the "Annual Form 700 Filings Due April 3, 2017" page. The header is identical to the homepage. The main heading is "Annual Form 700 Filings Due April 3, 2017". Below this, a sub-heading reads: "Public economic interest filings by City officers and designated employees support transparent and accountable local government." The text explains that it's time for City officers and designated employees to file their Annual Statement of Economic Interests (Form 700) and lists the filing deadline as Monday, April 3rd, 2017. A list of sections summarizes filing requirements and deadlines for: Elected Officials, Department Heads, Board Members and Commissioners; Designated Employees; and Filing Officers. The page is divided into two main sections: "Elected Officials, Department Heads, Board Members and Commissioners" and "Designated Employees". Each section includes a "FILING DEADLINE", "RESOURCES", and "KEY REMINDERS". The "Elected Officials" section features a button for "E-File Form 700" and an image of hands typing on a laptop. The "Designated Employees" section features a button for "Download Form 700" and an image of a hand writing on a document.

# FORM 700 REVIEW

# FORM 700 GENERAL REMINDERS

- Reporting period for 2017 annual filing: 1/1/2016 to 12/31/2016
- Filer's position and disclosure category will determine reportable financial interests
- Reportable financial interests include filer's own and those of filer's spouse/partner. They also include interests of dependent children.

# HOW TO FIND YOUR DISCLOSURE CATEGORY

- Visit [San Francisco Campaign & Governmental Conduct Code](#)
- Click on the section for your department

The screenshot shows the American Legal Publishing Corporation website. The left sidebar lists various San Francisco codes, with "San Francisco Campaign and Governmental Conduct Code" selected. The main content area displays a list of sections, with "Sec. 3.1-230. Ethics Commission" circled in red. Below the list, the text "SEC. 3.1-100. DEFINITIONS." is visible, followed by the text "As used in this chapter:" and a list item "(a) 'Political Reform Act' means the Political Reform Act of 1974, as said Act reads on the d".

Section Number	Department/Agency
<a href="#">Sec. 3.1-215</a>	Elections, Department of.
<a href="#">Sec. 3.1-218</a>	Emergency Management, Department of.
<a href="#">Sec. 3.1-225</a>	Environment, Department of the.
<a href="#">Sec. 3.1-230</a>	Ethics Commission
<a href="#">Sec. 3.1-240</a>	Film Commission.
<a href="#">Sec. 3.1-242</a>	Finance Corporation.
<a href="#">Sec. 3.1-245</a>	Fine Arts Museums.
<a href="#">Sec. 3.1-250</a>	Fire Department.
<a href="#">Sec. 3.1-251</a>	General Services Agency – City Administrator.
<a href="#">Sec. 3.1-252</a>	General Services Agency – Public Works.
<a href="#">Sec. 3.1-253</a>	General Services Agency – Technology, Department of.
<a href="#">Sec. 3.1-255</a>	Golden Gate Park Concourse Authority.
<a href="#">Sec. 3.1-260</a>	Health Authority.
<a href="#">Sec. 3.1-267</a>	Health Service System.

**SEC. 3.1-100. DEFINITIONS.**

As used in this chapter:

(a) "Political Reform Act" means the Political Reform Act of 1974, as said Act reads on the d





# FORM 700 COVER PAGE REMINDERS

- List business address
  - Contact information will not be redacted in the forms retained at departments
  - Electronic filers: Contact information will be redacted online but is available un-redacted at the Ethics Commission
- Select applicable schedules
- Sign the form

**CALIFORNIA FORM 700**  
FAIR POLITICAL PRACTICES COMMISSION  
A PUBLIC DOCUMENT

STATEMENT OF ECONOMIC INTERESTS  
COVER PAGE

Date Initial Filing Received  
Official Use Only

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)

**1. Office, Agency, or Court**  
Agency Name (Do not use acronyms)  
Division, Board, Department, District, if applicable Your Position  
► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)  
Agency: Position:

**2. Jurisdiction of Office (Check at least one box)**  
 State  Judge or Court Commissioner (Statewide Jurisdiction)  
 Multi-County  County of  
 City of  Other

**3. Type of Statement (Check at least one box)**  
 Annual: The period covered is January 1, 2016, through December 31, 2016.  
-or- The period covered is through December 31, 2016.  
 Assuming Office: Date assumed through  
 Candidate: Election year and office sought, if different than Part 1:  
 Leaving Office: Date Left (Check one)  
 The period covered is January 1, 2016, through the date of leaving office.  
-or-  
 The period covered is through the date of leaving office.

**4. Schedule Summary (must complete) ► Total number of pages including this cover page: \_\_\_\_\_**  
**Schedules attached**  
 Schedule A-1 - Investments - schedule attached  Schedule C - Income, Loans, & Business Positions - schedule attached  
 Schedule A-2 - Investments - schedule attached  Schedule D - Income - Gifts - schedule attached  
 Schedule B - Real Property - schedule attached  Schedule E - Income - Gifts - Travel Payments - schedule attached  
-or-  
 None - No reportable interests on any schedule

**5. Verification**  
MAILING ADDRESS STREET CITY STATE ZIP CODE  
(Business or Agency Address Recommended - Public Document)  
DAYTIME TELEPHONE NUMBER E-MAIL ADDRESS  
( )  
I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.  
I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.  
Date Signed (month, day, year) Signature (File the originally signed statement with your filing official)

# FORM 700 SCHEDULES

- Schedules
  - A-1: Investments - Stocks, Bonds, and Other Interests (Ownership <10%)
  - A-2: Investments, Income, and Assets of Business Entities/Trusts (Ownership >10%)
  - B: Interests in Real Property
  - C: Income, Loans, and Business Positions
  - D: Income - Gifts
  - E: Income - Gifts of Travel Payments, Advances, and Reimbursements

# QUESTIONS ABOUT FORM 700?

For specific questions please consult:

- The Ethics Commission – [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org) or (415) 252-3100
- The Fair Political Practices Commission (FPPC) - (866) 275-3772 (866-ASK-FPPC)
- Deputy City Attorney assigned to your department

# **POLICY UPDATES**

## NEW AND DEVELOPING

- Electronic filing for Ethics and Sunshine Training
- Behested Payments
- E-filing for designated filers

**Q&A**

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**Thank you**

**San Francisco Ethics Commission**

**25 Van Ness Avenue, Suite 220**

**San Francisco, CA 94102**

**(415) 252-3100**

**[www.sfethics.org](http://www.sfethics.org)**