San Francisco Ethics Commission

STATEMENT OF ECONOMIC INTERESTS – FORM 700
2018 ANNUAL FILING
Filing Officer Information Session
03/07/18
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 2\textsuperscript{nd} 2018\textsuperscript{*}
- Leaving Office – Within 30 days

\textit{Exception:} If you assumed office between Oct 1 2017 and March 31 2018, and filed an assuming office Form 700, you do not need to file annual Form 700 in 2018.

Learn more online: Form 700 Filing Deadlines page
ETHICS & SUNSHINE TRAINING

For Elected Officials, Departments Heads, Board Members and Commissioners

New this year:

- Ethics and Sunshine Ordinance training deadlines have been consolidated. Learn more.
- Sunshine Ordinance Declaration and Certificate of Ethics Training have been consolidated into a single form (Ethics and Sunshine Training Declaration) which must now be filed electronically through NetFile.

Upcoming annual filing requirements:

- Ethics and Sunshine Training must be completed online through NetFile by Monday, Apr 2nd 2018
- Training declaration form must be e-filed by Monday, Apr 2nd 2018

Learn more online: Ethics and Sunshine Training page
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:
2018 Annual Form 700 Filing Requirements page
FILING 2018 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

Learn more online:
2018 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

- Ethics and Sunshine Ordinance training declaration forms
  - 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
- Ethics and Sunshine Training Declaration Form - Electronic

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 Thursday March 15, 2018
- Filing Officer Report – Due Tuesday April 10, 2018
YEAR-ROUND - APPOINTMENT & LEAVING OFFICE FORMS

- Notice of Appointment & Resignation form
  - Gather filer’s *business* contact information
  - Submit Notice to Ethics Commission
  - Forward 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
FILER INFORMATION SESSIONS

- **Session FI-1**: Wednesday, **February 14th 2018** - 1:00 PM to 2:00PM
  Ethics Commission, 25 Van Ness Ave, Room 70 (lower level)

- **Session FI-2**: Monday, **March 12th 2018** – 1:00 PM to 2:00PM
  Ethics Commission, 25 Van Ness Ave, Room 70 (lower level)

[Online form](#) to sign up for the information sessions
FILING SUPPORT & RESOURCES

- **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)
FORM 700 FILING GUIDANCE & RESOURCES AVAILABLE AT SFETHICS.ORG

Annual Form 700 Filings Due Monday, April 2, 2018

Public economic interest filings by City officers and designated employees support transparent and accountable local government.

It’s time for City officers and designated employees to file their Annual Statement of Economic Interests (Form 700). These public filings help officials and employees monitor their financial interests, identify when those interests might conflict with their government actions, and take steps to avoid conflicts of interests. City officers and designated employees are required to file the Fair Political Practices Commission (FPPC) Form 700 (covering the period January 1 to December 31, 2017) with their filing officers by Monday, April 2nd 2018. Please note that there is no provision in state law to extend the filing deadlines.

The following sections summarize the filing requirements and deadlines for:

- Elected Officials, Department Heads, Board Members and Commissioners
- Designated Employees
- Filing Officers

FILING DEADLINES

- E-file the FPPC Form 700 by Monday, April 2, 2018.
- E-file the Ethics and Sunshine Ordinance Declaration Form by Monday, April 2, 2018.

RESOURCES

- Learn more about how to file Form 700 and the filing deadlines.
- Have questions about your NetFile account? Visit account setup page to learn about password reset. If you forgot your user ID, contact your Filing Officer or the Ethics Commission.
- Learn more about Ethics and Sunshine training requirements.

KEY REMINDERS

- If you assumed office between October 1, 2017 & March 31, 2018 and filed an assuming office Form 700 then you do not need to file annual Form 700 in 2018.
- Report only what is required in Form 700 based on your disclosure category. Review the Campaign and Governmental Conduct Code Sec. 3.1-103 to find your disclosure category.
- Electronically filed Form 700 statements are available to the public at Form 700 Online Database.
FORM 700 REVIEW
Reporting period for 2018 annual filing: 1/1/2017 to 12/31/2017

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
HOW TO FIND YOUR DISCLOSURE CATEGORY

▪ View the disclosure category and description for the position (Note: description for disclosure category 1 is under 3.1-107)
▪ Filing Officers/Department Heads are the points of contact for questions
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
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 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 LEGISLATION OPERATIVE IN 2018

- **Behested Payments Reports** by City board and commission members effective Jan 1, 2018
  - Required to disclose if they directly or indirectly request or solicit charitable contributions of $1,000 or more from parties or participants (or their agents) while certain matters are pending before their boards or commissions.
  - Form to be filed electronically through DocuSign within 30 days of the contribution

- Ordinance change to disqualify members of City boards and commissions who have not filed their Form 700 or Ethics & Sunshine training declaration from participating in or voting on matters before their boards or commissions.
  - Proposal was approved by the Board of Supervisors on 3/6/18
  - Details and compliance guidelines will be provided soon
Thank you

Please complete a short online survey about the information session.
More details will be in our follow-up email.