



San Francisco Ethics Commission

**STATEMENT OF ECONOMIC INTERESTS – FORM 700
2018 ANNUAL FILING**

Filing Officer Information Session

03/07/18

AGENDA

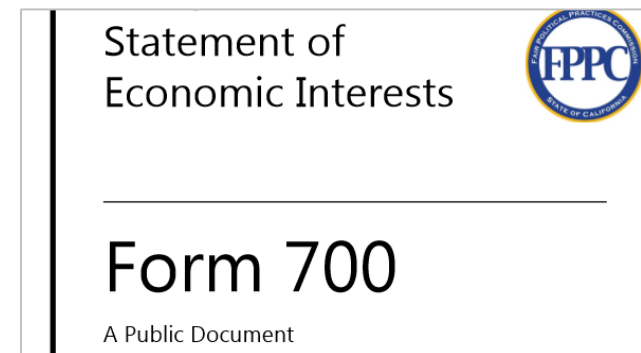
- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- Policy Updates
- Q&A

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 2nd 2018*
- Leaving Office – Within 30 days

***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

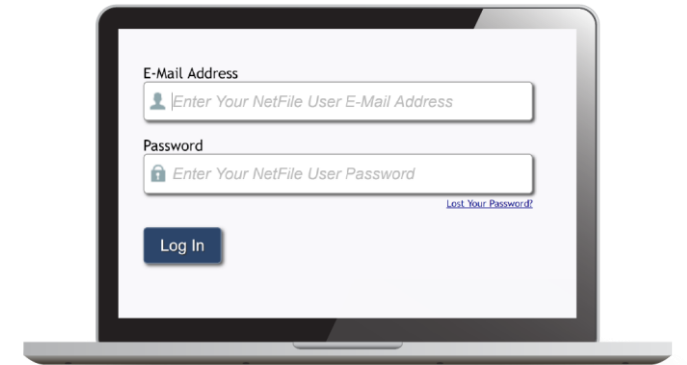
Learn more online:

[Ethics and Sunshine Training page](#)

FILING 2018 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:

[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

The image shows the cover page of California Form 700, titled 'STATEMENT OF ECONOMIC INTERESTS COVER PAGE'. The form is from the Fair Political Practices Commission. It includes fields for the filer's name (Last, First, Middle), the office, agency, or court (Agency Name, Division, Board, Department, District, Your Position), and the jurisdiction of the office (State, Multi-County, City, Judge or Court Commissioner, County, Other). It also has a section for the type of statement.

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)

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

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

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 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
- Fair Political Practices Commission website - www.fppc.ca.gov/Form700.html

FORM 700 FILING GUIDANCE & RESOURCES AVAILABLE AT SFETHICS.ORG

City & County of San Francisco
Ethics Commission

Commission ▾ Compliance ▾ Disclosures ▾ Enforcement ▾ Laws ▾ E-File ▾

Annual Form 700 Filings Due Monday, April 2, 2018

f t i e

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](#)

Elected Officials, Department Heads, Board Members and Commissioners

[E-File Form 700](#)



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

FORM 700 GENERAL REMINDERS

- 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

The screenshot shows the American Legal Publishing Corporation website interface. On the left is a table of contents (TOC) for California codes, with 'San Francisco Campaign and Governmental Conduct Code' selected. The main content area displays a list of sections with their corresponding department names. The entry 'Sec. 3.1-230. Ethics Commission' is circled in red. Below this list is a section titled 'SEC. 3.1-100. DEFINITIONS.' with the text 'As used in this chapter:' followed by 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
Sec. 3.1-215.	Elections, Department of.
Sec. 3.1-218.	Emergency Management, Department of.
Sec. 3.1-225.	Environment, Department of the.
Sec. 3.1-230.	Ethics Commission
Sec. 3.1-240.	Film Commission.
Sec. 3.1-242.	Finance Corporation.
Sec. 3.1-245.	Fine Arts Museums.
Sec. 3.1-250.	Fire Department.
Sec. 3.1-251.	General Services Agency – City Administrator.
Sec. 3.1-252.	General Services Agency – Public Works.
Sec. 3.1-253.	General Services Agency – Technology, Department of.
Sec. 3.1-255.	Golden Gate Park Concourse Authority.
Sec. 3.1-260.	Health Authority.
Sec. 3.1-267.	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'

HOW TO FIND YOUR DISCLOSURE CATEGORY

- View the disclosure category and description for the position (Note: description for disclosure category I is under 3.1-107)
- Filing Officers/Department Heads are the points of contact for questions

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SEC. 3.1-230. ETHICS COMMISSION.

Disclosure Category 2. Persons in this category shall disclose any investments in, business positions, or other financial interests to the Ethics Commission, including but not limited to, computer hardware or software companies, code of ethics, and equipment to the Ethics Commission during the reporting period.

<i>Designated Positions</i>	<i>Disclosure Categories</i>
Commission Member	1
Executive Director	1
Deputy Director	1
Assistant Deputy Director	1
Consultant/New Positions	*
Senior Fellow	1

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SEC. 3.1-107. DISCLOSURE CATEGORY 1.

Unless otherwise specified, for each department or agency, Disclosure Category 1 shall read:

"Disclosure Category 1. Persons in this category shall disclose income (including gifts) from any source, in any form, including but not limited to, salary, honoraria, or other compensation, or holds any position of management."

(Added by Ord. 71-00, File No. 000358, App. 4/28/2000; Ord. 320-10, File No. 101272, App. 12/23/2010)

(Derivation: Former Administrative Code Section 58.8)

SEC. 3.1-108. CONSULTANTS.

Unless otherwise stated in this Chapter, consultants for departments and agencies covered by this Chapter shall disclose economic interests in a disclosure category other than Disclosure Category 1 because the consultant position is based upon that description, a statement of the extent of disclosure requirements. The determination shall be based upon that description, a statement of the extent of disclosure requirements. The determination shall be based upon that description, a statement of the extent of disclosure requirements. The determination shall be based upon that description, a statement of the extent of disclosure requirements.

(Added by Ord. 80-07, File No. 070122, App. 4/19/2007)

SEC. 3.1-109. REPEALED.

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
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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
 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.
 Candidate: Election year and office sought, if different than Part 1:

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 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

Q&A



Thank you

Please complete a short online survey about the information session.

More details will be in our follow-up email.

San Francisco Ethics Commission

25 Van Ness Avenue, Suite 220

San Francisco, CA 94102

(415) 252-3100

www.sfethics.org