AGENDA

- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- New Laws
- Filer Support and Resources
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
FORM 700 FILING REQUIREMENTS AND DUE DATES

- Assuming Office – Within 30 days
- Annual – Apr 2\textsuperscript{nd} 2019* (date change due to State holiday this year)
- Leaving Office – Within 30 days

*Exception: If you assumed office between Oct 1 2018 and April 1 2019, and filed an assuming office Form 700, you do not need to file annual Form 700 until April 1 2020.

Learn more online: Form 700 Filing Deadlines 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:
2019 Annual Form 700 Filing Requirements Page
Designated Employees

- Complete and sign Form 700 on paper
- Submit the completed form to the Filing Officer by due date

Learn more online:
2019 Annual Form 700 Filing Requirements page
For Elected Officials, Departments Heads, Board Members and Commissioners

Ethics and Sunshine Ordinance Declaration Form

- Due Monday, Apr 1st 2019
- Filed Electronically via NetFile

Learn more online:
Ethics and Sunshine Training 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!

- Notify the Ethics Commission regarding contact changes (via *Department Contact Information Form*)
  - Department Head
  - Filing Officer
- Know Who Files
  - Conflict of Interest Code
  - Filer Disclosure Category

Learn more online: Filing Officer Duties
DISTRIBUTE FORMS AND RESOURCES TO FILERS

- Notify individuals regarding filing obligations and due dates
  - Form 700 – Paper, Electronic
  - Ethics and Sunshine Training Declaration Form – Electronic
- Provide compliance resources to filers
  - Online resources available at Ethics Commission and FPPC
  - Filer information session schedule

Learn more online: Filing Officer Duties
ASSIST FILERS AND COLLECT COMPLETED FORMS

- Assist filers with questions regarding filing requirements and due dates
- For further assistance direct filers to the Ethics Commission
- Ensure that statements are filed timely
- Notify filers of filing errors and late statements
- Collect and retain completed forms for public access

Learn more online: Filing Officer Duties
FILING OFFICER FORMS TO ETHICS COMMISSION

- Confirm that you have notified all filers (City officials and designated employees) regarding their filing obligations
  - *Certification of Delivery* – Due Friday March 15, 2019
  - File electronically via DocuSign

- Provide information about those who have not filed timely (only designated employees)
  - *Filing Officer Report* – Due Wednesday April 10, 2019
  - Will be converted to an electronic form (via DocuSign) by April

Learn more online: [Filing Officer Duties](#)
FILING OFFICER DUTIES - YEAR-ROUND

- Assuming and Leaving Office forms must be filed by all filers
  - City officials (electronic)
  - Designated filers (on paper with the department)
- Submit *Notice of Appointment & Resignation Form* with the Ethics Commission for electronic filers (to enable filer account setup)
  - Gather filer’s *business* contact information
- Provide filing instructions and resources to filers
- Ensure that statements are filed timely

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
Members of City Boards and Commissions who fail to file Form 700 and/or Sunshine/Ethics Declarations by the deadline are disqualified from participating in or voting on matters listed on their boards’ and commissions’ meeting agendas until the filing requirements are met.
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
- Contact the Ethics Commission for questions

Learn more online:
How to File Form 700
FORM 700 REVIEW
FORM 700 GENERAL REMINDERS

- Reporting period for 2019 annual filing: 1/1/2018 to 12/31/2018
- 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
NEW LAWS
Elected Officials

- Per State law, officials must file FPPC Form 803 with their agency for payments of $5,000 or more, and forward a copy to the Ethics Commission.
- Per City law, officials must e-file SFEC Form 3610b with the Ethics Commission for certain payments of $1,000 or more *(New filing requirement effective 1/1/2019)*

Members of City Boards and Commissions

- Per City law, officials must e-file SFEC Form 3610b with the Ethics Commission for certain payments of $1,000 or more *(New requirements effective 1/1/2019)*

Additional filing requirements for Donors and Recipients of behested payments *(New requirements effective 1/1/2019)*

For details visit Behested Payments and SF Campaign & Governmental Conduct Code Sec. 3.600 et seq.
Any member of a City board or commission who has a conflict of interest or who must recuse himself or herself from a proceeding shall in the public meeting of the board or commission prior to the consideration of the matter:

- Publicly identify the circumstances, recuse himself or herself, and leave the room until after the consideration of the matter

Recusal Notification

- File a notification form for each recusal
- File the form along with a copy of the meeting agenda with the Ethics Commission
- File within 15 calendar days after the date of the meeting at which the recusal occurred

For more details visit [SF Campaign & Governmental Conduct Code Sec. 3.209](#)
GIFTS AND CONFLICT OF INTEREST RULES

- Annual gift limit for City officials and employees
  - $470 until December 31, 2018 (for 2019 annual Form 700 reporting period)
  - Increases to $500 for 2019 and 2020
- New Conflict-of-Interest Rules for Elective Officers and Members of City Boards and Commissions
SUPPORT & RESOURCES

- **Filer 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)
FILER INFORMATION SESSIONS

- **Session FI-1:** Wednesday, **February 20th 2019** - 1:30 PM to 2.30 PM
  City Hall, Room 421

- **Session FI-2:** Monday, **March 20th 2019** – 1:30 PM to 2.30 PM
  City Hall, Room 421

[Online form](#) to sign up for the information sessions
Statement of Economic Interests (Form 700)

City officers and designated employees are required to disclose reportable financial interests by filing Statement of Economic Interests (SEI), also known as Fair Political Practices Commissions (FPPC) 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. The Political Reform Act of 1974 prohibits public officials from using their official position to influence a governmental decision in which they have reason to know they have a financial interest (Gov. Code, § 87150).

2019 Annual Form 700 due Tuesday, April 2, 2019, and Ethics and Sunshine Training Declaration Form due Monday, April 1, 2019. Learn More.
Thank you

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