



# San Francisco Ethics Commission

**STATEMENT OF ECONOMIC INTERESTS – FORM 700  
2020 ANNUAL FILING**

**Filing Officer Information Session**

**2020**



# AGENDA

- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- Additional Filing Requirements for City Officials
- Filer Support and Resources

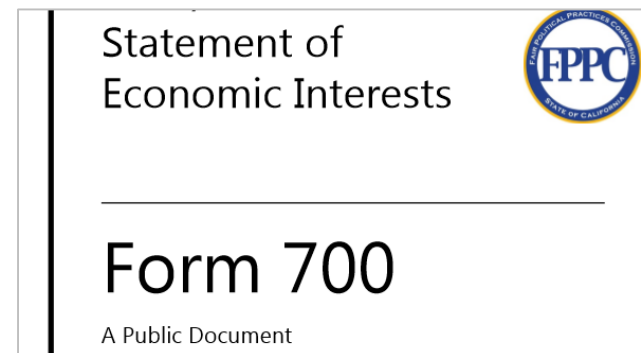
# **Overview**

## **Statement of Economic Interests**



# STATEMENT OF ECONOMIC INTERESTS - FORM 700

- 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 – April 1st 2020
- Leaving Office – Within 30 days

**\*Exception:** If filer assumed office between Oct 1 2019 and April 1 2020, and filed an assuming office Form 700, filer does not need to file annual Form 700 until April 1 2021.

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

# FILING 2020 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:

[2020 Annual Form 700 Filing Requirements Page](#)

# FILING 2020 ANNUAL FORM 700 ON PAPER

## Designated Employees

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

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:

[2020 Annual Form 700 Filing Requirements page](#)





# ETHICS & SUNSHINE TRAINING

Elected Officials, Departments Heads, Board Members and Commissioners

Complete training via [NetFile](#) and file *Ethics and Sunshine Declaration Form*

- Due Monday, Apr 1<sup>st</sup> 2020
- Within 30 days of Assuming Office
- Form filed electronically via NetFile

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



# PUBLIC ACCESS TO FILED FORMS

- Form 700 statements filed electronically
  - Available online [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 and Ethics Training 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



# DEPARTMENTAL CONTACTS AND FILERS

- Timely notify the Ethics Commission if departmental contacts (Department Head or Designated Filing Officer) change, to ensure that the department continues to receive critical communications from the Ethics Commission
  - Complete the [Department Contact Information Form](#)
  - Email the completed form to [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org)
- If you currently do not receive communications from the Ethics Commission, contact [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org)
- Know who needs to file, by reviewing the [Conflict of Interest Code](#)
  - If filer e-files with Ethics, [Sections 3.1-103](#)
  - If filer files on paper with department, [Sections 3.1-108](#) through [3.1-457](#)
  - Ensure that filers are aware of their 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 (all filers)
  - Ethics and Sunshine Training Forms – Electronic (City Officials)
- Provide compliance resources to filers
  - Online resources are available at [Ethics Commission](#) and [FPPC](#)
  - Ethics Commission’s filer information session details

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 DUTIES – ANNUAL FILING

- Confirm that you have notified all filers (City officials and designated employees) regarding their filing obligations
  - *Certification of Delivery* – Due Monday, March 16, 2020
  - File electronically via DocuSign
- Provide information about those who did not file by the statutory annual deadline (only designated employees)
  - *Filing Officer Report* – Due Friday, April 10, 2020
  - File electronically via DocuSign

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



## FILING OFFICER DUTIES – YEAR-ROUND

- In order to add assuming/leaving Form 700 requirements in the NetFile system for electronic filers (City officials), promptly submit *Notice of Appointment & Resignation Form* with the Ethics Commission
  - Gather filer's **business** contact information and assuming/leaving date (City-issued email required)
  - Send the completed form at the earliest to [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org) to timely setup filing requirements and allow sufficient time for filers to complete the filing
  - Ethics Commission will not be able to setup filing requirements for assuming/leaving filers without this information

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



## FILING OFFICER DUTIES – YEAR-ROUND (CONT'D)

- Ensure that Assuming and Leaving Office Form 700s are filed within 30 days of assuming/leaving office by
  - City officials (electronic with Ethics Commission)
    - Also required to complete Ethics & Sunshine training and file *Ethics and Sunshine Declaration Form* within 30 days of assuming office
  - Designated filers (on paper with the department)
- Provide filing instructions and resources to filers
- Follow-up with filers to 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](#)



# NON-FILER DISQUALIFICATION - BOARDS AND COMMISSIONS

- 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.

Learn more online:  
[SF C&GCC Sec. 3.1-102.5\(c\)](#)



## AMENDMENTS TO FILED FORM 700

- Amend the form electronically or on paper depending on the original filing method
- Amendments can be made to current or prior years' filings
  - There are no penalties assessed for amendments

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

# FORM 700 REVIEW

## FORM 700 GENERAL REMINDERS

- Reporting period for 2020 annual filing: 1/1/2019 to 12/31/2019
- 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 as well as interests of dependent children

# HOW TO FIND YOUR DISCLOSURE CATEGORY

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



AMERICAN LEGAL Publishing Corporation

2019 S-70 (current)

CA > San Francisco > San Francisco Cam... > SEC. 3.1-230. ETHICS COMMISSION.

**SEC. 3.1-230. ETHICS COMMISSION.**

**Disclosure Category 2.** Persons in this category shall disclose any investments in, business position with, or income (including but not limited to, computer hardware or software companies, computer consultant services, and computer 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                            |
| <b>Education and Compliance Division</b> |                              |
| Education & Compliance Officer           | 1                            |

\* Consultants/New Positions are included in the list of designated positions and shall disclose pursuant to the broadest disclosure category applicable to a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus does not include a description of the consultant's duties and, based on that description, a statement of the extent of disclosure requirements. The disclosure shall be made in the same manner and location as this Conflict of Interest Code.

# 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

The screenshot shows the American Legal Publishing Corporation website. The breadcrumb trail is: CA > San Francisco > San Francisco Cam... > SEC. 3.1-107. DISCLOSURE CATEGORY 1. The main content area displays the following text:

**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, interests in real property, investments, and all business positions in which the designated employee is a director, officer, partner, trustee, employee, 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 be deemed designated employees for the purposes of this Chapter and shall disclose economic interests in Disclosure Category 1; provided, however, that the director of the department or agency for which a consultant works may determine in writing that the consultant is not required to comply with the disclosure requirements described in this section or is not required to disclose economic interests in a disclosure category other than Disclosure Category 1 because the consultant performs a range of duties that are limited in scope. Such a determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. The determination shall be a public record and shall be retained for public inspection in the same manner and location as statements filed under this Chapter.  
(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  
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

**ADDITIONAL FILING REQUIREMENTS  
FOR CITY OFFICIALS**



# BEHESTED PAYMENTS REPORTING

- Elected Officials
  - Per State law, elected officials must file [FPPC Form 803](#) with their agency for payments of \$5,000 or more made at the officials behest, and forward a copy to the Ethics Commission
  - Per City law, elected officials must e-file [SFEC Form 3610b](#) with the Ethics Commission for certain behested payments of \$1,000 or more
- 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
  - Additional filing requirements for [Donors and Recipients of behested payments](#)
- For details visit [Behested Payments](#) and [SF Campaign & Governmental Conduct Code Sec. 3.600 et seq.](#)



# RECUSAL NOTIFICATION

- 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
  - Electronically file [Form SFEC-3.209](#) with the Ethics Commission for each recusal along with a copy of the meeting agenda
  - 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
  - \$500 until December 31, 2020 (for 2019 annual Form 700 reporting period)
- For more information regarding gifts and conflict of interest rules, refer to:
  - Conflict-of-Interest Rules for Elective Officers and Members of City Boards and Commissions
  - City Attorney's Good Government Guide
  - Your department's Statement of Incompatible Activities (SIA)

# **FILED SUPPORT & RESOURCES**



## filer INFORMATION SESSIONS

- **Session FI-1:** Tuesday, **March 17** - 1:30 PM to 2.30 PM  
25 Van Ness, Room 70
- **Session FI-2:** Wednesday, **March 18** - 2:30 PM to 3:30 PM  
City Hall, Room 305

Online form to sign up for the information sessions



# SUPPORT & RESOURCES

## ■ Filer Assistance

- Designated Filing Officer/Liaison 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)

# MORE INFORMATION ON OUR WEBSITE – [SFETHICS.ORG](https://www.sfethics.org)

Navigation breadcrumbs:  
Compliance > City Officers > Statement of Economic Interests

The screenshot shows the website header with the City & County of San Francisco Ethics Commission logo and navigation menu. The breadcrumb trail is: Home > Compliance > City Officers > Statement of Economic Interests. The main heading is "Statement of Economic Interests (Form 700)". The page content includes an introductory paragraph, a link to the 2020 Annual Form 700 and Ethics and Sunshine Training Declaration Form, and four main sections: "File SEI - FPPC Form 700", "Ethics & Sunshine Training", "SEI Resources", and "Information Sessions". A right-hand sidebar lists various compliance topics. The "SEI Resources" list includes "Filing Officer Duties", which is circled in red.

City & County of San Francisco  
**Ethics Commission**

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

Home > Compliance > City Officers > Statement of Economic Interests

## 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 Commission (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, § 87100).

[2020 Annual Form 700 and Ethics and Sunshine Training Declaration Form due Wednesday, April 1 2020. Learn More.](#)

### File SEI – FPPC Form 700

Designated Employees: File **Hard Copy Form 700** with your filing officer. [Learn more about how to file Form 700.](#)

Elected Officials, Department Heads, Board Members and Commissioners: File your Form 700 online. [Learn more about how to file Form 700.](#)

[E-File Form 700](#)

[E-File Account Setup](#) | [Password Reset](#)

### Ethics & Sunshine Training

- Elected Officials, Department Heads, Board Members and Commissioners need to fulfill [Ethics and Sunshine training requirements](#).
- Watch Ethics and Sunshine [Online Training](#)
- E-File [Ethics and Sunshine Training Declaration Form](#)

### SEI Resources

- [How to File Form 700 and FPPC FAQ Guides](#)
- [Filing Deadlines](#)
- [Late Filing and Enforcement](#)
- [Filing Officer Duties](#)

### Information Sessions

Attend [upcoming information sessions](#) to learn more about 2020 Annual Form 700 filing requirements.

### Compliance

- Campaigns >
- City Officers ▾
  - Statement of Economic Interests (Form 700) ▾**
    - [How to File Form 700](#)
    - [Form 700 Filing Deadlines](#)
    - [E-File Account Setup](#)
    - [Form 700 Filing Support](#)
    - [Late Filing and Enforcement](#)
    - [Filing Officer Duties](#)
  - [Behested Payments](#)
  - [Conflict of Interest](#)
  - City Contracts >
  - [Ethics and Sunshine Training](#)
  - [Gifts and Travel](#)
  - [Incompatible Activities](#)
- [Lobbyists >](#)
- [Campaign Consultants >](#)
- [Major Developers >](#)
- [Permit Consultants >](#)
- [Behested Payments >](#)



# Thank you

**San Francisco Ethics Commission**  
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**San Francisco, CA 94102**  
**(415) 252-3100**  
**[www.sfethics.org](http://www.sfethics.org)**