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
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
Designated Employees

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

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 1st 2020
- Within 30 days of Assuming Office
- Form filed electronically via NetFile

Learn more online:
Ethics and Sunshine Training page
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
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

If you currently do not receive communications from the Ethics Commission, contact 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
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 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
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 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
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
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
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
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
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
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
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
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.
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)](#)
FILER 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

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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 interest. The Political Reform Act of 1974 permits public officials from using their official position to influence governmental decision in which they have reason to know they have a financial interest (Gov. Code, § 87300).

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.

SEI Resources

- E-file Form 700
- E-File Account Setup | Password Reset
- SEI Resources
  - How to File Form 700 and FPPC FAQ Guides
  - Filing Deadlines
  - Late Filing and Enforcement
  - Filing Officers Duties

Information Sessions

Attend upcoming Information sessions to learn more about 2020 Annual Form 700 filing requirements.

Compliance

City Officers

Statement of Economic Interests (Form 700)

- How to File Form 700
- Form 700 Filing Deadlines
- E-File Account Setup
- Filing Form 700 Filing Support
- Late Filing and Enforcement
- Filing Officers Duties
- Beneficial Payments
- Conflict of Interest
- City Contracts
- Ethics and Sunshine Training
- Gifts and Travel
- Incompatible Activities

Listings

Campaign Consultants

Mayor Developers

Permit Consultants

Selected Payments
Thank you