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
☐ Filing Officer Duties
☐ Form 700 Overview
☐ Additional Filing Requirements for City Officials
☐ Filer Support and Resources
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 2021
- Leaving Office – Within 30 days

*Exception: If filer assumed office between Oct 1 2020 and April 1 2021, and filed an assuming office Form 700, filer does not need to file annual Form 700 until April 1 2022.

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
FILING 2021 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

Learn more online:
2021 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 Thursday, Apr 1st 2021
- 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
Questions Generally about Form 700s?
- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- Additional Filing Requirements for City Officials
- Filer Support and Resources
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

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
- Conduct a facial review review of all filled statements; full review of 20% of statements filed annually (designated employees)
- Notify filers of filing errors and late statements
- Collect and retain completed forms for public access
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 Wednesday, March 17, 2021
  - File electronically via DocuSign

- Provide information about those who did not file by the statutory annual deadline (only designated employees)
  - Filing Officer Report – Due Monday, April 12, 2021
  - File electronically via DocuSign

Learn more online: Filing Officer Duties
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

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.

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
Questions about Filing Officer Duties?
☑ Overview - Statement of Economic Interests
☑ Filing Officer Duties
☑ Form 700 Overview
☐ Additional Filing Requirements for City Officials
☐ Filer Support and Resources
Reporting period for 2021 annual filing: 1/1/2020 to 12/31/2020

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
- 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 What is Reported in a Form 700?
☐ Overview - Statement of Economic Interests
☐ Filing Officer Duties
☐ Form 700 Overview
☐ Additional Filing Requirements for City Officials
☐ Filer Support and Resources
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 and **Department Heads (effective 9/24/2020)**
- 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
  - $520 through December 31, 2022 ($500 for 2020 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)
Questions the Additional Filing Requirements for Electeds, Department Heads and Board Members/Commissioners?
☑ Overview - Statement of Economic Interests
☑ Filing Officer Duties
☑ Form 700 Overview
☑ Additional Filing Requirements for City Officials
☑ Filer Support and Resources
FILER INFORMATION SESSIONS

- **Session FI-1:** Wednesday, February 17 - 1:30 PM to 2:30 PM
  via WebEx
  
  *For Elected Officials, Department Heads, Board Members and Commissioners (E-Filers)*

- **Session FI-2:** Wednesday, March 17 - 1:30 PM to 2:30 PM
  via WebEx
  
  *For Designated Filers (Filing Hard-Copy)*

Sign up at [Form 700 Filing Support](#)
SUPPORT & RESOURCES

- **Filer Assistance**
  - Designated Filing Officer/Liaison 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](http://www.sfethics.org)
  - Fair Political Practices Commission website - [www.fppc.ca.gov/Form700.html](http://www.fppc.ca.gov/Form700.html)
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 provides public officials from using their official position to influence a governmental decision in which they have a financial interest (Gov. Code, § 18710).

2020 Annual Form 700 and Ethics and Sunshine Training Declaration Form due Wednesday, April 1, 2020. Learn More.

File SEI – FPPC 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

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.
Raise Hand to indicate that you have a question. Select the icon next to your name in the participant list. Wait for the host to call your name and unmute your mic.

To Raise Hand, find your name on the participant list, and hover over your name. A Raise Hand icon will appear.

If you don’t see participants list, click on the Participants button on the lower right in the WebEx window.

To Lower Hand, select raise hand icon again.

If calling in by phone, Dial *3 to raise your hand if you have a question. You will hear, “You have raised your hand to ask a question, please wait until the host calls on you.”

The line will be silent as you wait for your turn to speak.

When the system message says “Your line has been unmuted” this is your turn to speak.

To Lower Hand, Dial *3 again.
Thank you