DEPARTMENTAL FILING OFFICER MANUAL

Form 700 – Statement of Economic Interests

ABSTRACT

This Manual provides an introduction of the NetFile SEI Admin system and step-by-step instructions for administering the Form 700 program in the NetFile SEI Admin system. This Manual is frequently revised to ensure delivery of up-to-date information.

SAN FRANCISCO ETHICS COMMISSION

sfethics.org

City & County of San Francisco Ethics Commission

Updated Date: 1/8/2024

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NetFile System Introduction

SYSTEM OVERVIEW

The NetFile SEI Admin System enables departments to administer their Form 700 program online and accept Form 700 filings electronically. The system keeps track of filings, determines whether they are filed on time, and populates and notifies filers of their annual filing requirements.

The System gives departments the ability to add and edit filers' information as well as the ability to track filed disclosure statements. Once an e-filer submits their disclosure statement via the online Filer Portal, a redacted version is immediately available for the public to search. Moreover, departmental filing officers can download an un-redacted version of the filed statement at any time.

NETFILE SYSTEM AND SOFTWARE REQUIREMENTS

The NetFile system is internet-based. Any computer and operating system with Internet access and most modern browsers are compatible. System pages may display slightly differently depending on the browser you use.

TERMINOLOGY

The following terminology will help you better understand the NetFile system:

NetFile Form 700 Staff Portal	Secured platform accessed by only filing officer ("staff") and Ethics Commission staff ("full admins").
NetFile Admin Login Page	The access point to the NetFile SEI Admin Portal.
SEI Admin Home Page	Filing officers' landing page after logging into NetFile Staff Portal.
Main Menu	The main menu toolbar is present at the top of all NetFile SEI Admin System pages. It lists links to help you navigate the system.
NetFile User Login Page	The access point for Form 700 filers.
User Account	Refers to Form 700 filers' NetFile account.
Filer Dashboard	Displays details about the filer and filing activity.
Live Public Portal	Online public portal where redacted Form 700 statements are accessed.
Staff	Refers to system users with staff-level access (i.e., Filing Officers).
Full Admin	Refers to system users with full admin-level access (i.e., Ethics Commission staff).

FILER TYPES (NETFILE CATEGORIES)

The NetFile system is designed to accommodate City officers who file statements with the Ethics Commission as well as designated filers who file with their respective departments. As a result, you may encounter filer type categories and form types that do not apply to designated filers. As general rule, **only 700 is applicable to the filer accounts you administer**. **Disregard all references to 87200, SF Board Member, 800 Filers, SunCert and Candidate.**

700	All designated filers are categorized under this Filer Type category in the NetFile system.	Use
87200	Applicable to officials specified in Gov. Code Section 87200 required to file Form 700 statements with the Fair Political Practices Commission (FPPC).	Do Not Use
SF Board Member	Applicable to City officers who file with the Ethics Commission and have both a Form 700 and Ethics/Sunshine requirement.	Do Not Use
800 Filers	Applicable to elected officials only who file behested payments reports.	Do Not Use
Candidate	Applicable to commissioners and board members only.	Do Not Use

SYSTEM FUNCTIONS, MODULES AND CONTROLS

Contact Details Module	Displays the filer's notification email, and filer address, phone and web address that were entered into the system.
Notes Module	Provides the ability to leave or edit notes about the filer or their account.
Contact Log Module	Provides the ability to log details regarding contacts made with a filer via phone, email, fax, letter or in person.
Tasks Panel	Displays a summary of filing activity and administrative transactions.

ABBREVIATIONS

The following abbreviations are commonly used in the NetFile system:

AS	Assuming Office
AN	Annual
L	Leaving Office
Type	Refers to Filing Type
Cert	*Ethics Training applicable only to positions that file with the Ethics Commission.*
Sun An	*Sunshine Training applicable only to positions that file with the Ethics Commission.*

Form 700 Elements

Cover Page Sections	Filer Information	Pre-populates information entered when filer account was created.
	Office/Agency Information	
	Jurisdiction	
	Type of Statement	Assuming Office, Annual, Leaving Office

Schedule	**Common Reportable Interests**	**Common Non-Reportable Interests**
A-1: Investments	Stocks, including those held in an IRA or 401K. Each stock must be listed.	Insurance policies, government bonds, diversified mutual funds, funds similar to diversified mutual funds.
A-2: Business Entities/Trusts	Business entities, sole proprietorships, partnerships, LLCs, corporations, and trusts. (e.g., Form 1099 filers).	Savings and checking accounts, and annuities.
B: Real Property	Rental property in filer's jurisdiction, or within two miles of the boundaries of the jurisdiction.	A residence used exclusively as a personal residence (such as a home or vacation property).
C: Income	Non-governmental salaries. Note that filers are required to report only half of their spouse's or partner's salary.	Governmental salary (from school district, for example).
D: Gifts	Gifts from businesses, vendors, or other contractors (meals, tickets, etc.).	Gifts from family members.
E: Travel Payments	Travel payments from third parties (not your employer).	Travel paid by your government agency.

Redacted Form 700 Fields

Online Form 700 datasets and filings available to the public redact some fields to address filers' privacy concerns. The table below shows the information redacted sections of the Form 700 form.

Schedule	**Redacted field names**
Cover	address, phone number, email
A1	none
A2	address, real property parcel address
B	income sources, loan address
C	income address, loan address
D	address
E	address
Comments	none

Unredacted statements are public records and must also be made available upon request (i.e., public records request). Departmental Filing Officers can access unredacted statements in PDF format from the NetFile system.

Getting Started Using NetFile

OBTAINING FILING OFFICER LOGIN CREDENTIALS (NEW FILING OFFICERS)

Step 1. Departments must submit a Department Contact Change Form via DocuSign to add or remove a filing officer.

Step 2. Complete mandatory Filing Officer Training in SF Learning (Note: filing officers are auto-enrolled in training following receipt of Department Contact Change Form).

After you have completed the required training, Ethics Commission staff will set-up your filing officer account in the NetFile SEI Admin System. You will receive system login credentials via email, generally within 3 business days following completion of the training.

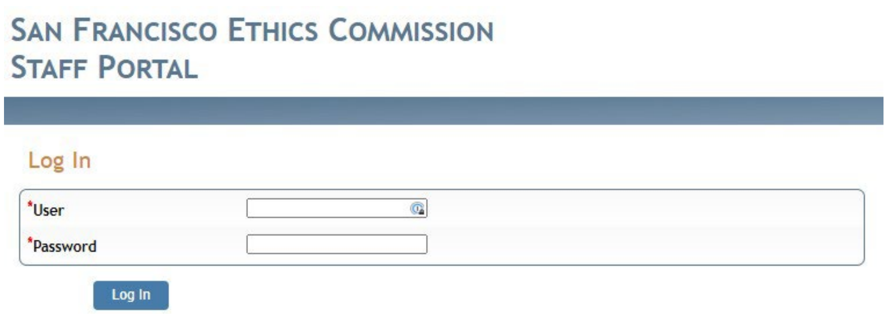
Step 3. *While you wait* – review information on SEI Form 700 Home Page and 'Filing Officer Responsibilities' available on the Filing Officer Home Page.

LOGGING IN TO YOUR ACCOUNT

Step 1. Go to: Filing Officer Home Page

Step 2. Click on **NetFile Admin (Filing Officer) Login Page** to access the NetFile SEI Admin System.

Step 3. Enter your Username and Password and click *Log In*. If you have forgotten your admin username or password, submit a support ticket with the NetFile Support.

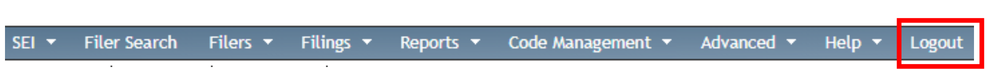


(FIGURE 1)

If an error occurs, check for mis-typed username and/or password. Carefully retype both, then click the *Log In* button again.

LOGGING OUT OF YOUR ACCOUNT

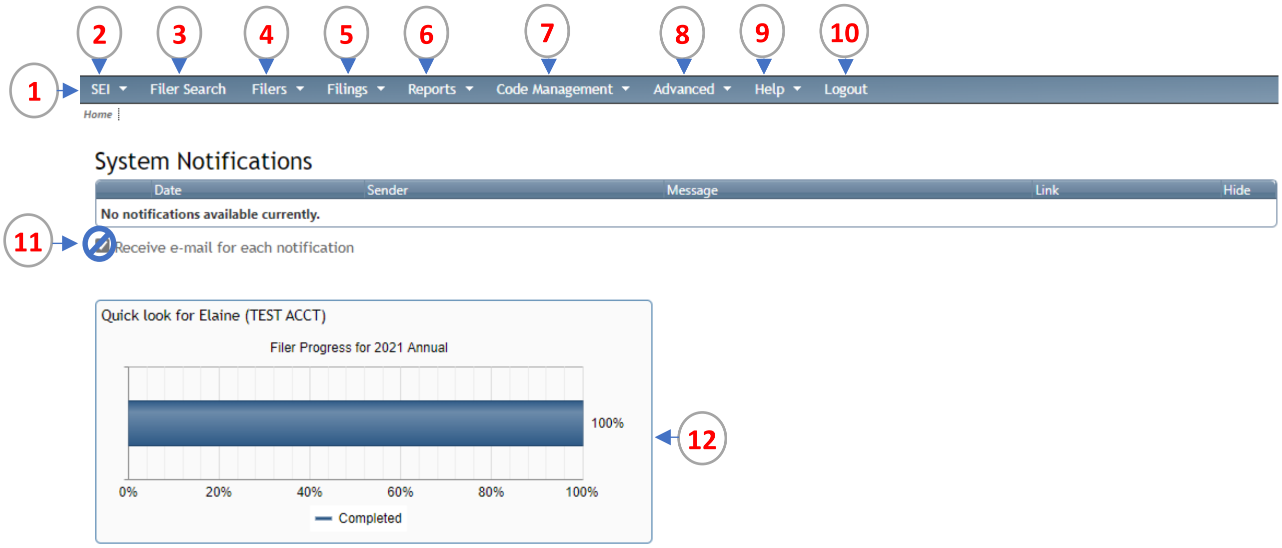
As a security precaution, NetFile recommends that you logout of your account when you are done using the NetFile SEI Admin System. To log out of your account, click the Log Out link on the right end of the main menu. The Log Out page displays assuring you that you have logged out of the system.



(FIGURE 2)

GET TO KNOW YOUR SEI ADMIN HOME PAGE

Once you've logged in to the admin system, you will arrive at your SEI Home Page.



(Figure 3)

1. **Main Menu**
2. **SEI Home** – links to SEI Home Page
3. **Filer Search** – search for a filer by last name and then select the filer's name in the results to open the filer's Filer Dashboard.
4. **Filers** – add, view, and edit filers; record a contact with a filer; access Tasks Panel
5. **Filings** – view and edit filings
6. **Reports** – access reports menu
7. ***Code Management*** *– for Ethics Commission staff use only.*
8. **Advanced** – change your account password
9. **Help** – documentation developed by NetFile. (Note: NetFile's documentation may not apply to Departmental Filing Officers. Please refer to Filing Officers Home Page for resources developed by the Ethics Commission).
10. **Logout** – click to log out of system
11. **Receive e-mail for each notification** – *for Ethics Commission staff use only. Keep this box unchecked.*
12. **Quick Look Table** – displays filing progress for Annual

Onboarding a Form 700 Filer

ONBOARDING A NEW FILER

When a person assumes a designated position within your department, you must create the filer's account, or if the person already exists in the system, edit the filer's existing account to add the new position and update their contact information. If applicable, you will also set-up and notify the filer of their assuming office filing requirement, which must be filed no later than 30 days after the filer has assumed the position. The sections in this chapter provide detailed instructions for the various onboarding scenarios.

Before onboarding a filer, review 'Assuming Office Filing Exceptions' under [Filing Requirements, Deadline and Exceptions].

The NetFile SEI Admin System uses **duplication checking** when adding a new filer. This provides a way to search the entire list of filers within the City and County of San Francisco to prevent duplicate filers from being added and ensures that **a filer within the City and County of San Francisco has only one Form 700 filer account.**

Step 1. Click the **Add a New Form 700 Filer** link on the *Filers* menu.

Step 2. Enter the filer's last name to confirm the filer doesn't already exist in the system (search may take several seconds).

If the Filer Does Not Exist (continue to steps 3 and 4)

If the Filer's Name Exists in the System (skip to ***[Onboarding An Existing Filer]*****)**

Step 3. If you do not see the name of the filer you want to add, click the **Proceed** button to display the *Add a New Filer* dialog screen.

Step 4. Complete all required Filer Fields:

The information entered when adding a new filer populates the filer's Form 700 statement cover page, which is a public document. For this reason, use filers' business contact and address information.

---

a. ***First Name**

b. **Middle Name (optional)**

c. ***Last Name**

d. ***E-mail Address** – enter the **Filer's City-provided work email**

Do not use 'Temporary E-mail' option

(FIGURE 4)

e. **Phone Number** – enter the **Filer's business phone number**

f. **Address** – the Form 700 is a public document, so it's recommended to use the **Filer's business address**

Although phone and address information are not required, entering this information pre-populates the filer's SEI cover page with their phone and address. This saves the filer from having to enter the information, which is required on the Form 700 cover page.

g. ***Filer Type** – select **700**

h. ***Is 800 Y/N** – for Ethics Commission staff use only.*

i. ***Employee ID** – enter is the Filer's **DSW number**

All City employees are issued a DSW number. For non-City employees who are not issued a DSW number, enter the code (below) that best describes the filer's position:

Non-City Occupants	NCE-0101-[3-letter dept code] (e.g., NCE-0101-CTA)
Consultants	CNS-0101-[3-letter dept code]
Commissioners/Board Members	MBR-0101-[3-letter dept code]

j. ***Department** – select their department from the drop-down list. The position list will refresh to display the department's positions.

k. **Agency Name** – default is 'City and County of San Francisco' (do not edit this field)

l. **Position** – select the Filer's position from the drop-down list. This will automatically set the Filer's appropriate Disclosure Category.

The NetFile system contains only positions designated in the City's Conflict of Interest Code. For filers occupying multiple positions within your department, enter the primary position on this form, and then create additional position(s) using the Edit Filer Page dialog. If a filer occupies multiple positions in more than one department, contact the Ethics Commission's Support Portal for assistance.

m. **Position Number** – leave this field blank.

n. ***Assuming Office Date** – enter the date the filer assumed office. This creates an Assuming Office Statement Requirement and a deadline for the statement to be filed.

Adding the Assuming Office date is an important step, especially for filers who assume office in the last quarter of the year. For filers who assume office between October 1 and December 31, the system removes the requirement to file the first annual statement. A filer assuming office on or after October 1 may skip the first annual filing. However, if the filer has a pre-existing secondary designated position, an annual will be generated and the new position will be added to it. (*See Annual Filing Exceptions for more information).*

o. **Leaving Office Date** – (optional) generally, this field should be left blank.

**Required field*

The City and County of San Francisco (CCSF) has over 6,000 former and active Form 700 filers in the NetFile system. Once a filer leaves a designated position and electronically files their leaving office statement, the position is terminated under their account. If the terminated position was the filer's only active position, the filer's account is terminated/deactivated as well. However, if the filer occupies more than one designated position and one of the positions remains active, the filer's account remains active in the system and only the position that they left displays as terminated (see Figure 5). Both active and terminated filers will appear when conducting a filer search in the system.

Filer Positions | Add Position

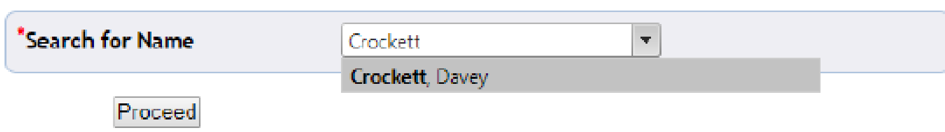
Agency	Position	Department	Categories	Date Started	Date Left	Actions
City and County of San Francisco	Trustee	EOBCDH War Memorial San Francisco	2	08/25/2021		
City and County of San Francisco	Commissioner	EOBCDH Ethics Commission	1	09/09/2016	03/05/2019	Action

(FIGURE 5)

Filer has two positions; the terminated position is highlighted.

If the Filer's name exists in the system:

Step 1. Click on the filer's name to select the filer.



(FIGURE 6)

Step 2. Click **Proceed** button to open the existing Filer's page displaying:

If you don't select the filer's name before clicking proceed, the system will open the *Add a New 700 Filer*, instead of the *Existing Filer* page.

a. The filer's name, filer's email address, and Employee ID

b. The filer positions table

Step 3. Review the filer's information carefully to determine if this is the correct filer.

When you encounter a situation where there are two or more individuals in the system that share the same name, it is important that you select and review each filer's information to ensure it is the correct person and that you don't create a duplicate filer account. If unsure whether a name-match is the same person, you should contact the filer directly to confirm.

Step 4. After you've confirmed it is the correct filer, select **Add Position** at the top of the *Filer Positions table* (see Figure 7).

If the filer is an existing filer transferring from another department or designated position **without a break in service** or displays another active position on their account from another CCSF department, stop here and see ***Onboarding An Existing Filer Transferring from Another City Department.***

(FIGURE 7)

Step 5. In the *Add New Position to Filer* dialog screen:

a. Select your **Department** form the drop down menu

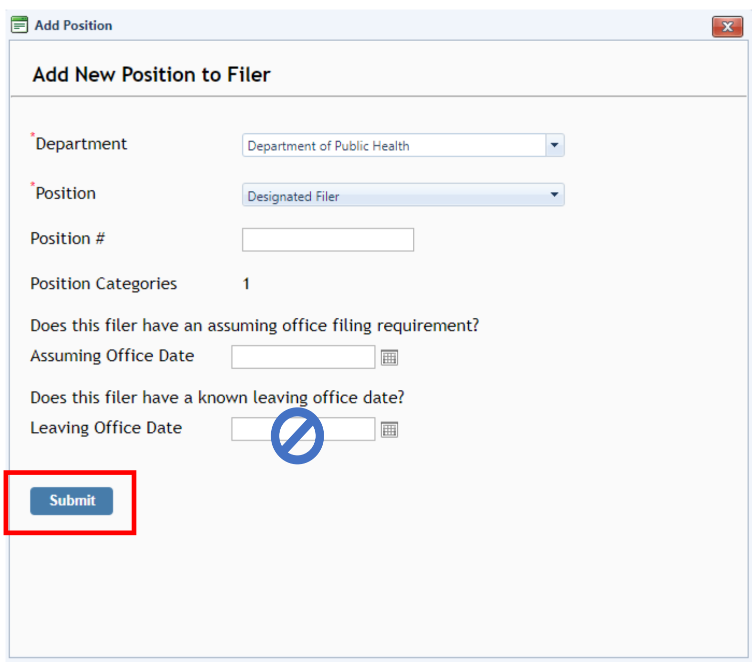
b. Next, select the designated **Position** from the drop down menu

c. Enter an **Assuming Office Date**

Step 6. **Do not complete** '**Leaving Office Date**' as this will automatically create a leaving office requirement on that date.

If the filer's account is active:

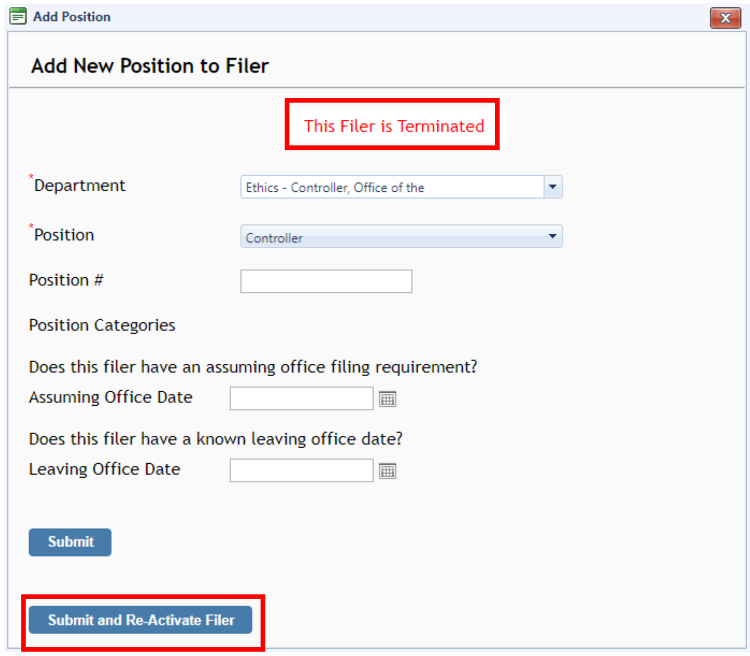
Step 7a. If the existing filer's account is active, click the **Submit** button.



(FIGURE 8)

If the filer's account is terminated/in-active:

Step 7b. If the existing filer's account is terminated/inactive, click the **Submit and Re-Activate Filer** button (see Figure 9).



(FIGURE 9)

Step 8. Open the filer's dashboard by clicking **Filer Dashboard** just below the main menu.

(FIGURE 10)

Step 9. Update the filer's contact information that has changed, including email address if applicable.

ONBOARDING AN EXISTING FILER TRANSFERRING FROM ANOTHER CCSF DEPARTMENT (NO BREAK IN SERVICE)

If an existing Form 700 filer with no break in service transfers to your department from another city department, do not attempt to add the new position to the filers account. Instead, contact the Ethics Commission via our Form 700 Support Portal for assistance. In your request, include:

- Filer Name
- Filer Email
- Previous Department
- Previous Position
- Date Left Office (if known)
- New Department and Position
- New Email
- Assuming Office Date ("Start date")

Upon receipt, Ethics Commission staff will confirm the information with you and the former department and perform a transfer in the system. When a transfer has been performed, the system adds the new position to the Filer Positions table and marks the old position with information about the transfer in the Date Left column including the position transferred to and the date of the transfer. The old position's background color is also changed to grey.

Filer Positions — Add Position

Agency	Position	Department	Categories	Date Started	Date Left	Actions
City and County of San Francisco	Executive Director	Ethics - Ethics Commission	1			Action
City and County of San Francisco	Auditor	Ethics - Ethics Commission			TR -> Executive Director on 11/19/2021	Action

(FIGURE 11)

PLEASE NOTE:

PER FPPC REGULATION § 18735, A FORM 700 FILER WHO MOVES FROM ONE DESIGNATED POSITION TO ANOTHER DESIGNATED POSITION IN THE CITY AND COUNTY OF SAN FRANCISCO QUALIFIES FOR A TRANSFER ONLY IF THERE IS **NO BREAK IN SERVICE**. NO BREAK IN SERVICE MEANS NO GAP OF ANY LENGTH IN CITY EMPLOYMENT OR CITY SERVICE. **TO QUALIFY FOR A TRANSFER, THE OFFICER OR DESIGNATED EMPLOYEE MUST START THE NEW DESIGNATED POSITION WITHIN ONE BUSINESS DAY OF LEAVING THEIR PREVIOUS DESIGNATED POSITION.**

Example A: Yolanda leaves a designated position on Friday, November 10, 2023, and starts a new designated position at a different City department on Monday, November 13, 2023 (the next business day.) Yolanda is not considered to have left and assumed office because there was no gap in City service between both positions. Yolanda will continue filing annual Form 700 forms. Filing officers should contact the Ethics Commission via the Form 700 Support Portal for assistance transferring the positions in NetFile.

Example B: Alexis, a designated employee, leaves City employment on November 17, 2023. A week later, Alexis is notified that they have been hired *for another different designated position* with the City (where they will also file the Form 700.) Alexis' start date in their new position is December 4, 2023. Alexis must file leaving and assuming office statements because they moved from one designated position to another designated position in the City and County of San Francisco and there was a gap in City service between both positions.

You are likely to encounter situations where an existing Form 700 filer transfers to your department from another City department with no break in service and their previous filing officer erroneously set up a leaving office requirement. When this occurs, a transfer cannot immediately be performed in the system. If the filer **has not yet** filed the erroneously-added leaving office statement, contact the Ethics Commission via our Form 700 Support Portal for assistance excluding the requirement from the filer's dashboard and perform the appropriate transfer. If the filer **has already filed** the leaving office statement, the filing cannot be removed, and a transfer cannot be performed. Instead, you will add the new position to the filer's existing account **without an Assuming Officer Date** and reactivate the filer (see ***Onboarding An Existing Filer*** instructions). This will prevent an assuming office requirement from being added to the filer's account as they are not required to file an assuming office statement. Be sure to add a notation in the filer's account to indicate when the filer started in the new position and why an assuming office filing was not required.

If the person transferring to your department was not required to file a Form 700 in their 'most recent' former CCSF position, or the person transferring to your department from another City Department had a gap in City service or employment of any duration between leaving their former designated position and starting their new designated position, **they are required** to file an assuming office Form 700 statement. Proceed to ***Onboarding a New Filer*** *or* **Onboard and Existing Filer** depending on whether the person has an existing account.

INTRADEPARTMENTAL TRANSFER WITHIN THE SAME DEPARTMENT (NO BREAK IN SERVICE)

If an active filer in your department transfers to another designated position within your department (e.g., promotion, job change, acting/interim assignment, etc.), they are generally not required to file a leaving office or assuming office statement if there is no break in service.

If the original position and the new position have different disclosure categories, the next statement of economic interests the employee files shall disclose both of the following: (1) Interests made reportable by the employee's original disclosure category that were held or received at any time during the period from the opening date of the statement to the transfer date. (2) Interests made reportable by the employee's new disclosure category that were held or received at any time during the period from the date of the transfer through the closing date of the statement.

You may consider sending a courtesy notice to the filer to let them know of any change in their disclosure category, if applicable.

If a designated filer in your department is transferring to an executive position (e.g.: board member, commissioner, executive director, or other chief executive officer position), contact the Ethics Commission.

To transfer a filer in NetFile from one designated position to another within your department:

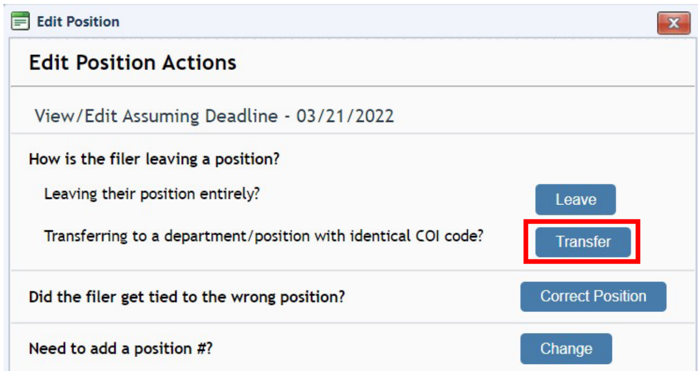
Step 1. From the filer's dashboard, in the *Filer Position table* click on **Action** next to the position that the filer is transferring 'from' to open the *Edit Positions Actions* dialog screen.

Filer Positions — Add Position

Agency	Position	Department	Categories	Date Started	Date Left	Actions
City and County of San Francisco	Director	Ethics - Airport	1	2/18/2022		Action
City and County of San Francisco	Commissioner	Ethics - Ethics Commission	1			
City and County of San Francisco	Auditor	Ethics - Ethics Commission				

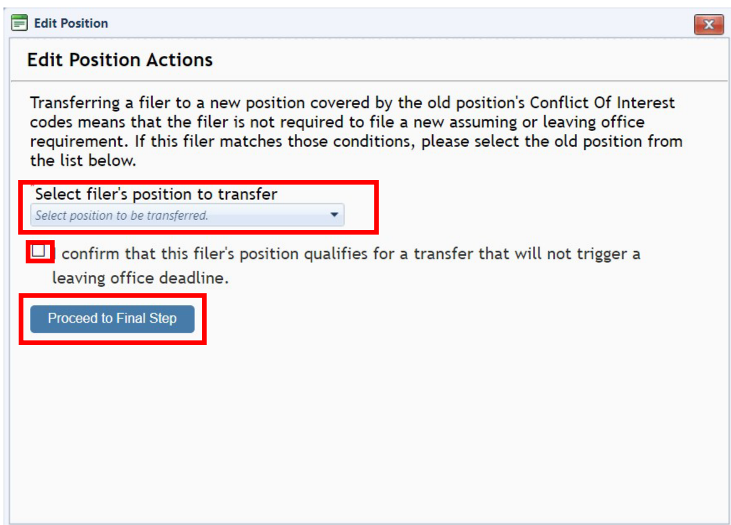
(FIGURE 12)

Step 2. Click on **Transfer** button.



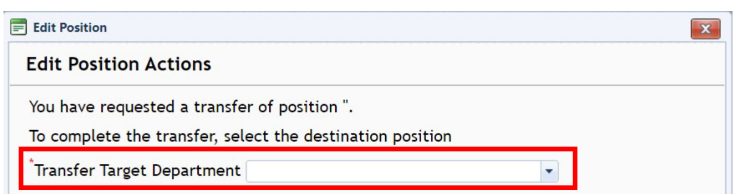
(FIGURE 13)

Step 3. Select the **filer's old position** from the drop down menu, click the **checkbox** to confirm that the filer's position qualifies for a transfer, and click **Proceed** *to Final Step*.



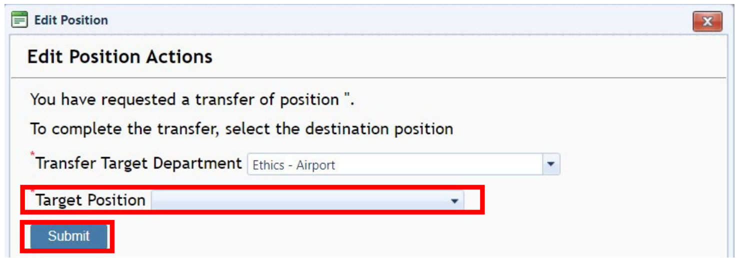
(FIGURE 14)

Step 4. Select your **department** from the *Transfer Target Department* drop down menu.



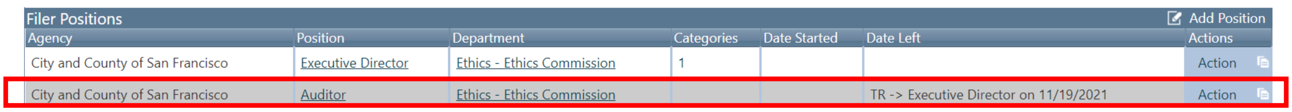
(FIGURE 15)

Step 5. Select the filer's **new position** from the *Target Position* drop down menu and click **Submit** (see Figure 16 below).



(FIGURE 16)

Step 6. Return to the filer's dashboard to confirm transfer was successful. The old position will appear greyed out and will show TR >[former position + transfer date].



Filer Positions — Add Position

Agency	Position	Department	Categories	Date Started	Date Left	Actions
City and County of San Francisco	Executive Director	Ethics - Ethics Commission	1			Action
City and County of San Francisco	Auditor	Ethics - Ethics Commission			TR -> Executive Director on 11/19/2021	Action

(FIGURE 17)

FILERS WHO START A NEW TERM OF OFFICE IN THE SAME POSITION

A designated employee who, at the expiration of the employee's term, begins a term **in the same position** within the same agency within 30 days has not assumed or left office. The employee shall continue filing annual statements.

> Example C: Ray, a designated City employee, retired on November 17, 2023, and was rehired in the same position via Prop F starting December 4, 2024. Because Ray began a new term *in the same position* and assumed office *less than 30 days after he left*, he does not need to file leaving and assuming office statements. He will continue filing annual statements by the April 1st deadline.

Note that this 30-day window does not apply if the employee moves from one designated position to another designated position (as opposed to beginning a new term of office in the same position.)

FILERS OCCUPYING POSITIONS IN MULTIPLE DEPARTMENTS

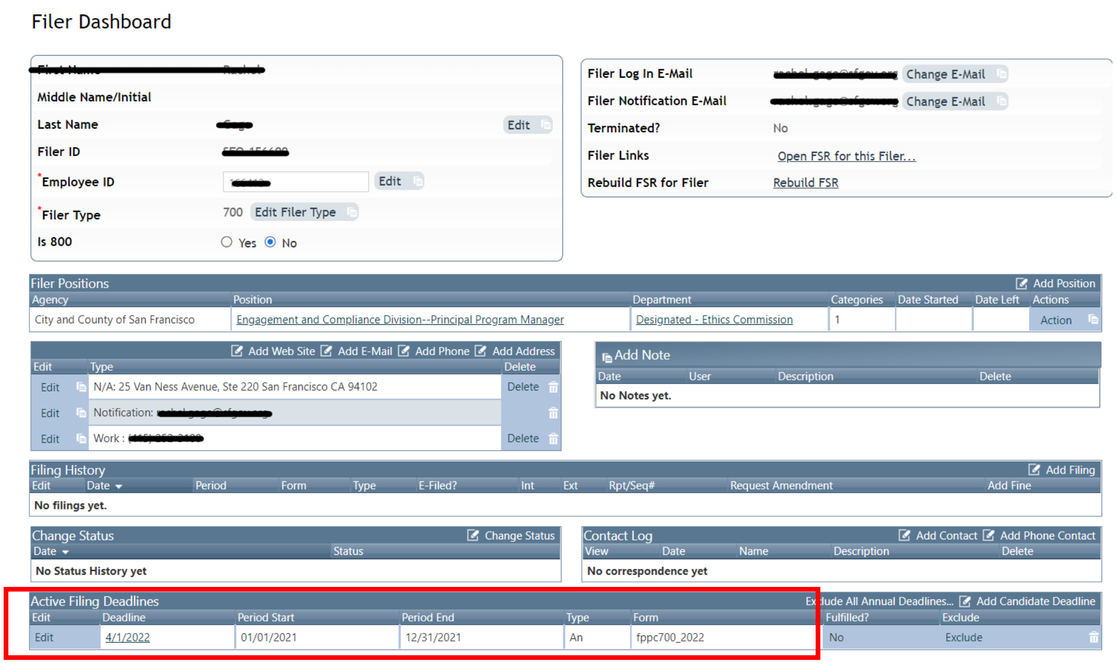
If you encounter a filer who occupies active positions in more than one department, you will only have the permissions to access and manage the filer's position in your department. Likewise, the filing officer of the department for the secondary position can only access and manage that position. Accordingly, two or more filing officers will have access to that filer's account. In most instances when a filer is occupying multiple positions, one of the positions must file with the Ethics Commission (e.g., the filer serves on a board or commission). In this case, the Ethics Commission can manage both positions in the filer's account. However, you must keep the Ethics Commission apprised of any changes that occur with the positions within your department (e.g., the filer leaves the position, etc.) Additionally, when a filer occupies more than one designated position, all positions will appear on their Form 700 statement. The primary position will appear on the cover sheet and secondary positions will appear in a separate section. Therefore, the filer will only file one annual Form 700 to fulfill requirements for all designated positions.

SETTING UP AN ASSUMING OFFICE FILING REQUIREMENT

An Assuming Office requirement can be added in several ways:

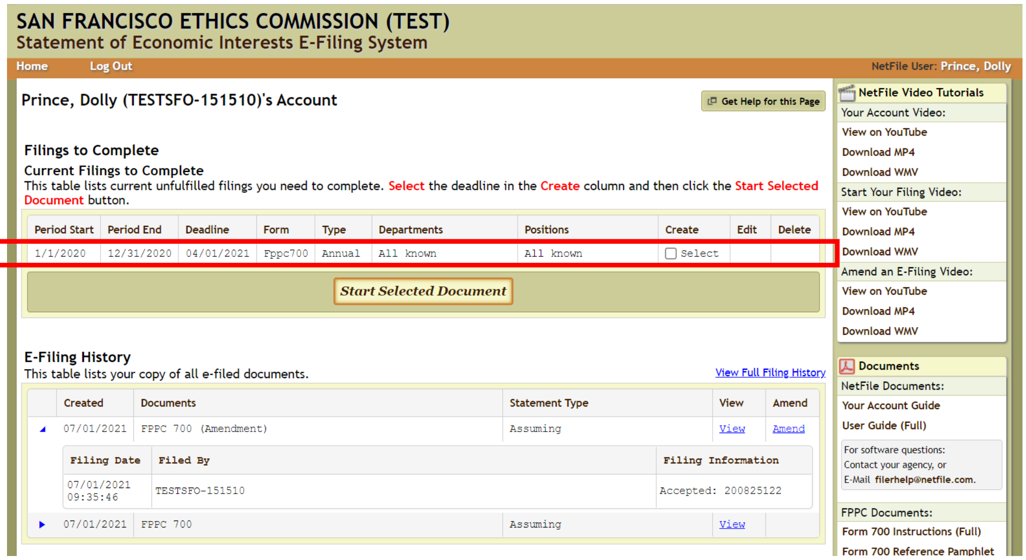
1. When adding a new filer to the system, entering an **assuming office date** in the *Add Filer* screen automatically creates an assuming office filing requirement in the filer's dashboard (see Admin dashboard view in Figure 18). When the filer logs into their NetFile account, they will see the requirement in the '*Filings to Complete' table* on their user dashboard (see filer's dashboard view in Figure 19).

FILER DASHBOARD - ADMIN (FILING OFFICER) VIEW



(FIGURE 18)

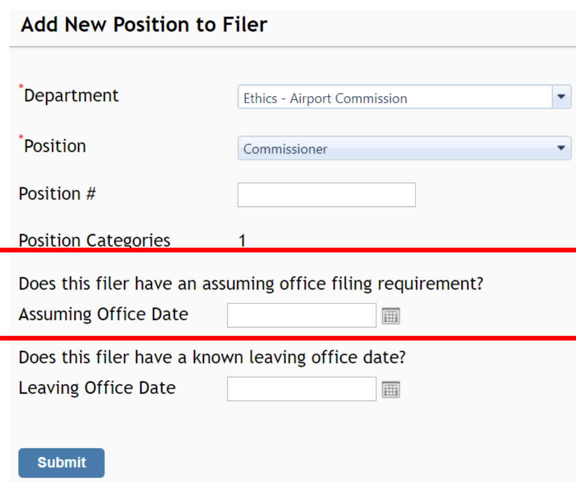
FILER DASHBOARD - FILER'S VIEW



(FIGURE 19)

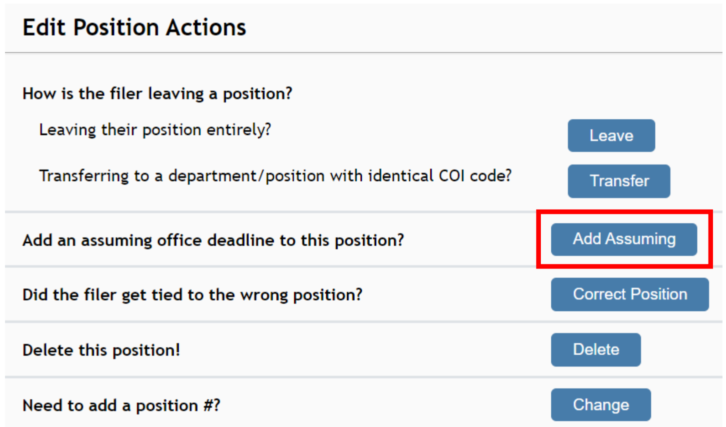
2. When onboarding an existing filer, adding their **new position** and its **assuming office date** will automatically add an assuming office filing requirement to the filer's dashboard (see Figure 20).

When using this method for an existing filer, refer to ***Assuming Office Filing Exceptions*** to ensure the filer has an assuming office requirement.



(FIGURE 20)

3. If you inadvertently omit the assuming office date when adding the filer/position from a filer's dashboard, click **Action** next to the position to which you are adding an assuming office requirement. The *Edit Position* dialog opens.



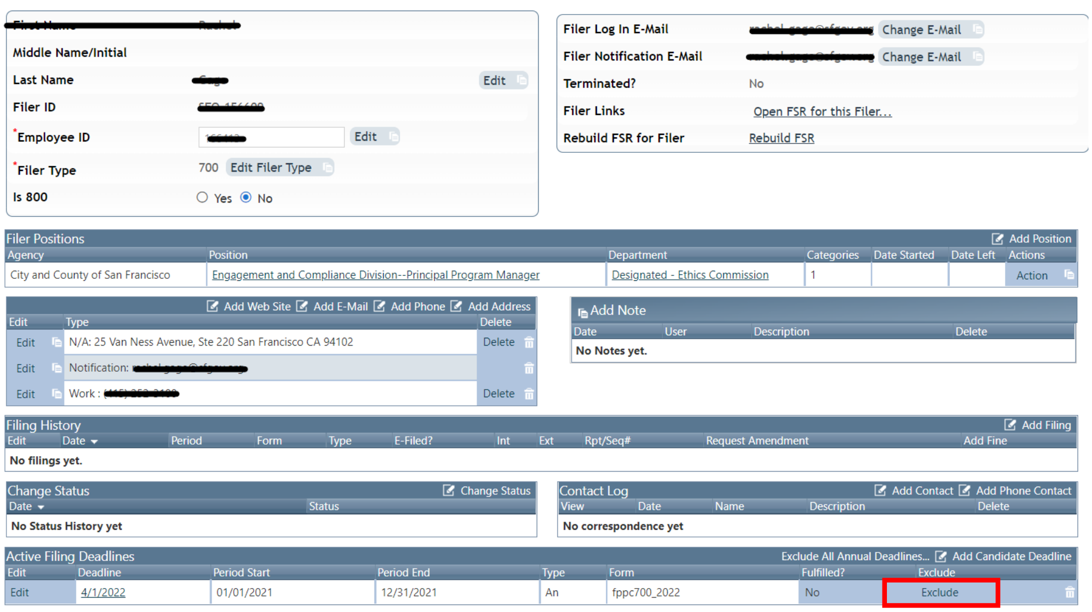
(FIGURE 21)

REMOVE AN ASSUMING OFFICE REQUIREMENT

If you mistakenly add an assuming office requirement to a filer that is not required to file an assuming office Form 700, you can remove the requirement from the filer's account. To remove a filing requirement:

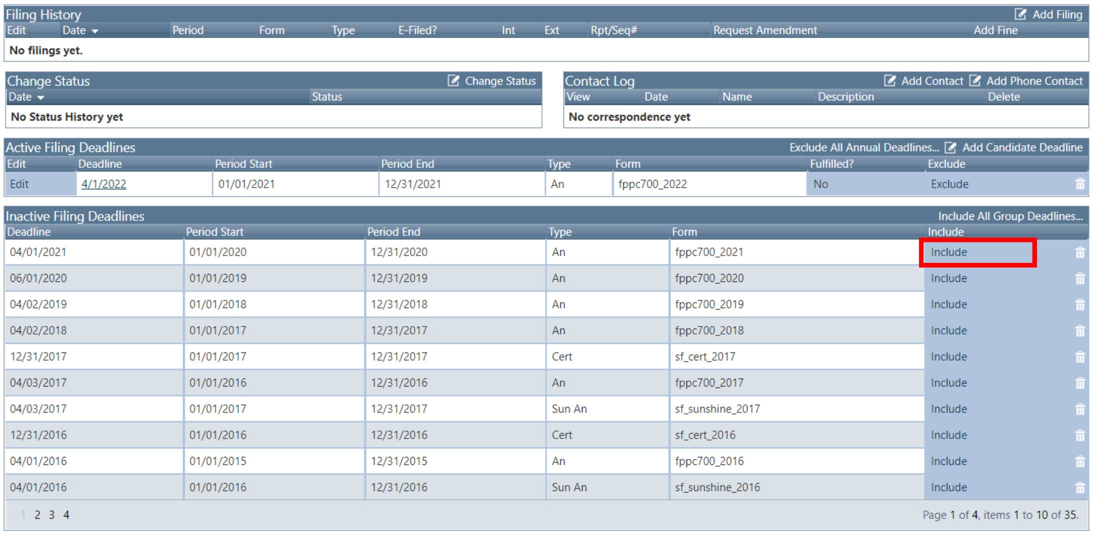
Step 1. From the filer's dashboard, in the *Active Filing Deadlines table*, click **Exclude** next to the requirement you want to exclude. The assuming office requirement is labeled 'AS' in the *Type column*.

Filer Dashboard



(FIGURE 22)

If you mistakenly remove a filing requirement, locate the requirement in *the Inactive Filing Deadline table*, and click **Include** next the requirement you want to include. Ensure you select the correct filing type with the correct Deadline and Period Start/End (see Figure 23).



Filing History — Add Filing

Edit	Date	Period	Form	Type	E-Filed?	Int	Ext	Rpt/Seq#	Request Amendment	Add Fine
No filings yet.										

Change Status — Change Status

Date	Status
No Status History yet	

Contact Log — Add Contact, Add Phone Contact

View	Date	Name	Description	Delete
No correspondence yet				

Active Filing Deadlines — Exclude All Annual Deadlines... Add Candidate Deadline

Edit	Deadline	Period Start	Period End	Type	Form	Fulfilled?	Exclude
Edit	4/1/2022	01/01/2021	12/31/2021	An	fppc700_2022	No	Exclude

Inactive Filing Deadlines — Include All Group Deadlines...

Deadline	Period Start	Period End	Type	Form	Include
04/01/2021	01/01/2020	12/31/2020	An	fppc700_2021	Include
06/01/2020	01/01/2019	12/31/2019	An	fppc700_2020	Include
04/02/2019	01/01/2018	12/31/2018	An	fppc700_2019	Include
04/02/2018	01/01/2017	12/31/2017	An	fppc700_2018	Include
12/31/2017	01/01/2017	12/31/2017	Cert	sf_cert_2017	Include
04/03/2017	01/01/2016	12/31/2016	An	fppc700_2017	Include
04/03/2017	01/01/2017	12/31/2017	Sun An	sf_sunshine_2017	Include
12/31/2016	01/01/2016	12/31/2016	Cert	sf_cert_2016	Include
04/01/2016	01/01/2015	12/31/2015	An	fppc700_2016	Include
04/01/2016	01/01/2016	12/31/2016	Sun An	sf_sunshine_2016	Include

1 2 3 4 — Page 1 of 4, items 1 to 10 of 35.

(FIGURE 23)

FILER NOTIFICATION

When onboarding a filer, a critical responsibility of departmental filing officers is to notify the filer that they have a Form 700 filing obligation. Your filer notices should include:

- ✓ **Requirement Type** and **Due Date** (e.g., Your Assuming Office Form 700 is due no later than **[MM/DD/2022]**).
- ✓ **Reporting Period** (e.g., The period you will report on is 12 months prior to your start date through your start date (i.e., 12-month look back).
- ✓ **The Filer's USER ID** (Note: The USER ID is the filer's email entered when their account was created, which is generally their City-issued email address. This information can be found on the filers' dashboard).
- ✓ **The Filer's Disclosure Category** and a **Link to Disclosure Category Quick Look-up Guide**
- ✓ **How to File** – **Link to the Filers Page** which provides a link to E-File statement.
- ✓ **Instructions for first time e-filers.** First time e-filers will need to establish a NetFile password. Instructions for *How to Establish a New Login Password* are available on the Filers Page
- ✓ **Link to the Form 700 Home Page** (provides important information about the law, disclosure categories, filing and reporting requirements, and consequences of not filing by the deadline.

For your convenience, *Sample Filer Notices* are available on the Filing Officers Page.

REMOVING A POSITION FROM A FILER'S ACCOUNT

IMPORTANT! When a filer has only one position, you must add a new position before the system allows you to delete/terminate the existing position. Additionally, you can only remove positions assigned to your department.

A position should be deleted from a filer only when it was added to the filer in error.

SCENARIOS NOT COVERED

If you encounter an onboarding scenario not covered in this chapter, or have questions about the procedures covered, contact the Ethics Commission via our Form 700 Support Portal for guidance.

Offboarding a Form 700 Filer

TERMINATING A FILER'S POSITION

When you are notified that a filer is leaving or has left their designated position, you must terminate the impacted position from the filer's account and, if applicable, set up and notify the filer of their leaving office requirement, which must be filed no later than 30 days after the filer has left the position. The sections in this chapter provide detailed instructions for the various offboarding scenarios.

If the filer has only one position, terminating that position terminates the filer's account after the filer completes their leaving office Form 700 requirement. For filers who occupy multiple designated positions, terminating a position terminates only that position. The filer's account remains active.

Before offboarding a filer, review 'Leaving Officer Filing Exceptions' under Filing Requirements, Deadline and Exceptions.

To terminate a position from a filer's account:

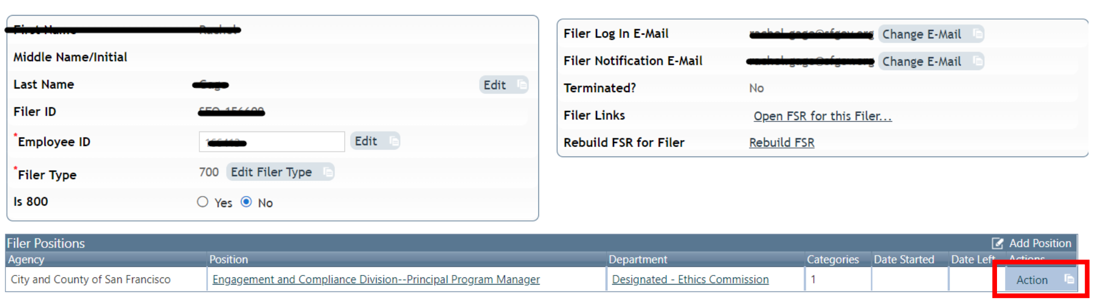
Step 1. Select **Filer Search** on the *main menu*.

(FIGURE 24)

Step 2. Enter the **filer's last name** and select the filer's name. The filer's dashboard will open. You can also use the *View & Edit Filers* option under the *Filers menu* to search for individual filers in your department.

Step 3. Click **Action** next to the position that you want to terminate.

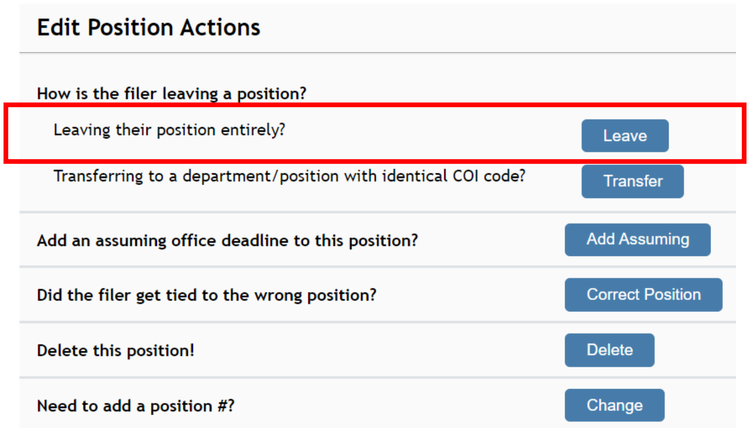
Filer Dashboard



(FIGURE 25)

If the filer is assuming another designated position within the City and County of San Francisco with no break in service skip to *Offboarding a Filer Transferring to Another Designated Position*.

Step 4. On the *Edit Positions Actions* dialog screen, click on the **Leave** button (see Figure 26 below).



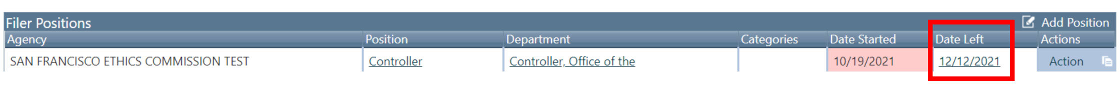
(Figure 26)

Step 5. Enter the **Date Left Office** and (if the filer no longer has access to their City-issued email address) enter the **Filer's New E-Mail** and click the **Add Leaving Deadline** button. This creates a leaving office requirement and a deadline for the statement to be filed.

Adding a new email address will also change the filer's NetFile login email. Be sure to inform the filer that their login email has changed.

(Figure 27)

The Filer Positions table will display the Date Left

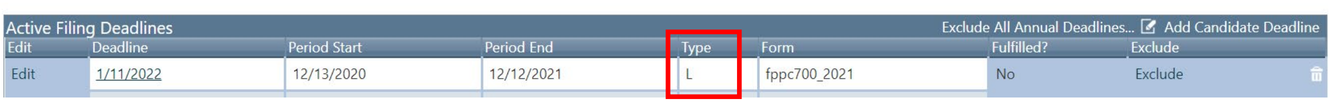


Filer Positions — Add Position

Agency	Position	Department	Categories	Date Started	Date Left	Actions
SAN FRANCISCO ETHICS COMMISSION TEST	Controller	Controller, Office of the		10/19/2021	12/12/2021	Action

(Figure 22)

The Active Filing Deadlines table will populate the Leaving Office requirement (listed as "L")



Active Filing Deadlines — Exclude All Annual Deadlines... Add Candidate Deadline

Edit	Deadline	Period Start	Period End	Type	Form	Fulfilled?	Exclude
Edit	1/11/2022	12/13/2020	12/12/2021	L	fppc700_2021	No	Exclude

(Figure 28)

The position will automatically terminate when the filer files their leaving office statement.

OFFBOARDING A FILER TRANSFERRING TO ANOTHER DESIGNATED POSITION

If you become aware that an existing designated filer in your department is transferring to another designated position in a different City department, do not terminate the filer's position. Instead, contact the Ethics Commission via our Form 700 Support Portal for assistance. In your request, include:

- Filer Name
- Filer Email
- Previous Department
- Previous Position
- Date Left Office
- New Department and Position
- Assuming Office Date (if known)

Upon receipt, Ethics Commission staff will confirm the information with you and the new department and perform a transfer in the system. When a transfer has been performed, the system adds the new position to the Filer Positions table and marks the old position with information about the transfer in the Date Left column including the position transferred to and the date of the transfer. The old position's background color is also changed to gray.

Filer Positions — Add Position

Agency	Position	Department	Categories	Date Started	Date Left	Actions
City and County of San Francisco	Executive Director	Ethics - Ethics Commission	1			Action
City and County of San Francisco	Auditor	Ethics - Ethics Commission			TR -> Executive Director on 11/19/2021	Action

(FIGURE 29)

FILERS OCCUPYING POSITIONS IN MULTIPLE DEPARTMENTS

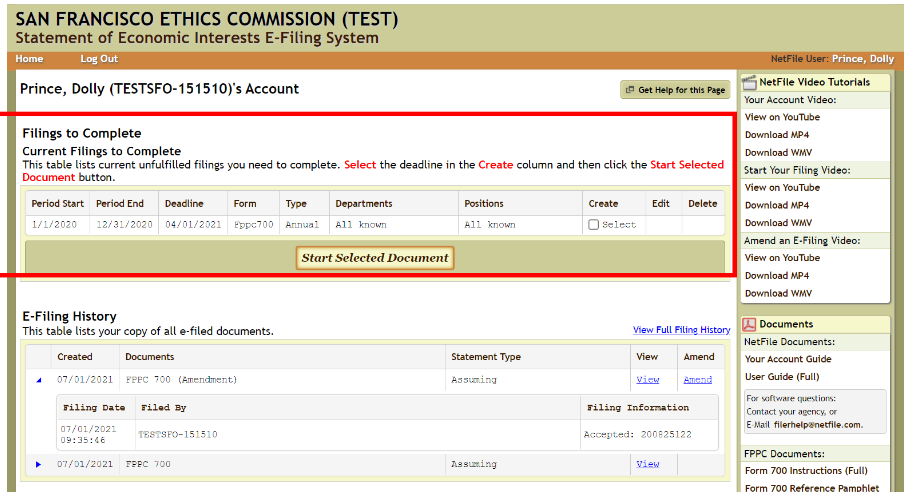
If you encounter a filer who occupies active positions in more than one department, you will only have the permissions to access and manage the filer's position in your department. Likewise, the filing officer of the department for the secondary position can access and manage that position. Accordingly, two or more filing officers will have access to that filer's account. In most instances, when a filer is occupying multiple designated positions, one of the positions is a position that files with the Ethics Commission (e.g., the filer serves on a board or commission). In this case, the Ethics Commission can manage both positions in the filer's account. However, your role must keep the Ethics Commission apprised of any changes that occur with the positions within your department (e.g., the filer leaves the position).

SETTING UP A LEAVING OFFICE FILING REQUIREMENT

A Leaving Office requirement can be added in several ways:

1. When terminating a filer's position in the system, entering a leaving office date automatically creates a leaving office requirement. When the filer logs into their NetFile account, they will see the requirement in the *'Filings to Complete' table* (see Figure 30).

FILER DASHBOARD - FILER'S VIEW

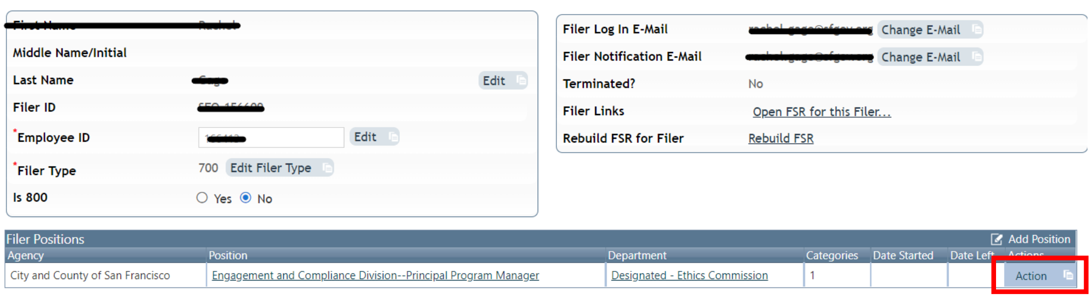


(FIGURE 30)

4. When both the filer and position exist in the system, on the filer's dashboard, click **Action** next to the position to which you are adding a leaving office requirement. The *Edit Position Actions* dialog opens.

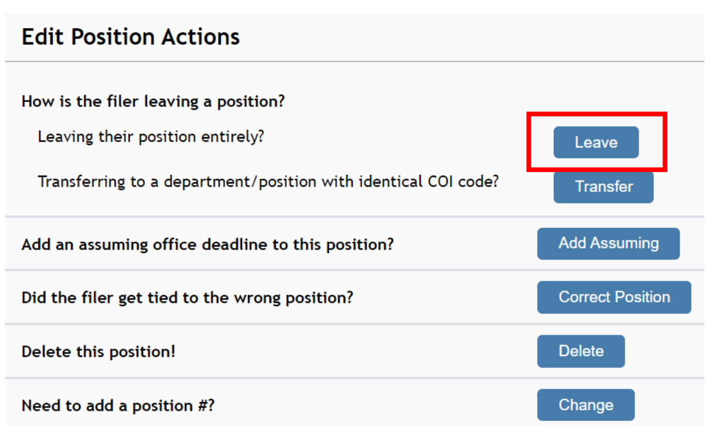
This method should be used if you inadvertently did not add the leaving office date when terminating the position.

Filer Dashboard



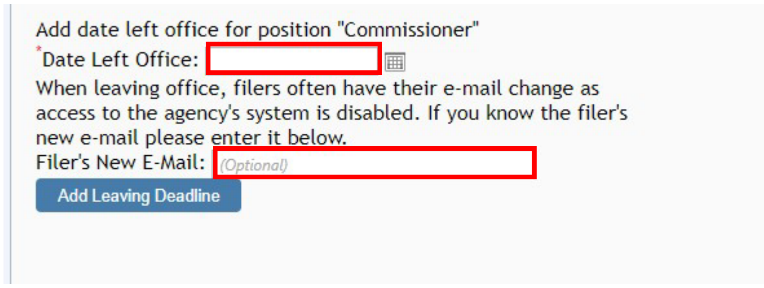
(FIGURE 31)

a. On the *Edit Positions Actions* screen, click on the **Leave** button



(FIGURE 32)

b. Enter the **Date Left Office** and click the **Add Leaving Deadline** button. This creates a leaving office requirement and a deadline for the statement to be filed.



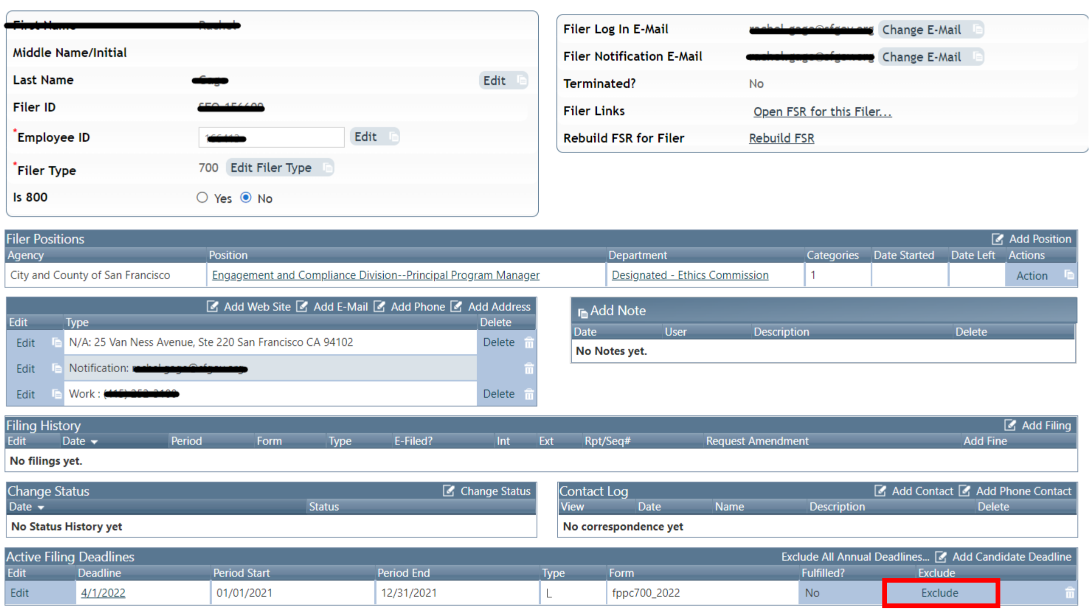
(FIGURE 33)

Remove a Leaving Office Requirement

If you mistakenly add a leaving office requirement to a filer that is not required to file a leaving office Form 700, you can remove the requirement from the filer's account. To remove a filing requirement:

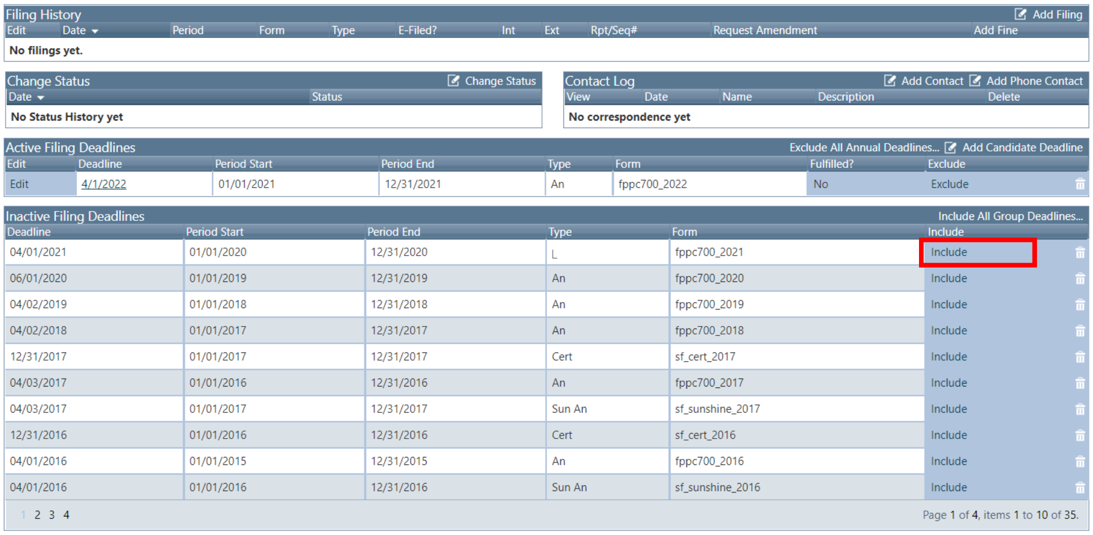
Step 1. From the filer's dashboard, in the *Active Filing Deadlines* table, click **Exclude** next to the requirement you want to exclude. The leaving office requirement is labeled 'L' in the *Type* column.

Filer Dashboard



(FIGURE 34)

If you mistakenly remove a filing requirement, locate the requirement in *the Inactive Filing Deadline* table, and click **Include** next the requirement you want to include. Ensure you select the correct filing type filing with the correct Deadline and Period Start/End (see Figure 35).



(FIGURE 35)

Updating a Leaving Office Requirement

To edit a leaving office requirement, you will first need to “exclude” the incorrect requirement and then add the correct requirement.

Step 1. Exclude the Incorrect Requirement:

a. From the Filer’s Dashboard, locate the *Active Filing Deadlines* table.

b. Locate the Leaving Office requirement.

c. Click the **Exclude** link for the Leaving Office requirement labeled with an ‘L’.

Step 2. Add the Correct Requirement:

d. Click the **Actions** link in the *Filer Positions table* for the position to which you are adding an assuming office requirement. The Edit Position dialog opens.

e. Click the **Leave** button.

f. Enter the **Date Left Office**.

g. Optional. If you have an updated email address for the person leaving office, you can enter it in the **Filer’s New E-Mail** field. When leaving office, filers often have their email change as access to their City email is disabled. Please note that updating the email address at this point will also change the email address the filer uses to log in to their account. Be sure to inform the filer that their login email address has changed.

h. Click the **Add Leaving Deadline** button. The system displays a success message at the top of the *Edit Position* dialog.

Combining A Leaving Office and Annual Requirement

A filer who leaves a position on or after January 1st, is required to file an annual Form 700 even if they leave before the April 1st annual deadline. If an employee leaves their position before the April 1st deadline, they may file a combined Annual and Leaving Office statement. Their combined statement is due April 1st or within 30 days of leaving office date, whichever is earlier.

Filers can combine their filings by taking the following steps once they're logged into NetFile:

Step 1. Select the first filing's **Create** check box.

Step 2. Select the second filing's **Create** check box.

Step 3. Click the **Start Selected 700 Document** button. The filing opens to the Cover Page. In the *Type of Statement* section, both filing types are selected.

Filer Notification

When offboarding a filer, a critical responsibility of departmental filing officers is to notify the filer that they have a Form 700 filing obligation. Your filer notices should include:

- ✓ **Requirement Type** and **Due Date** (e.g., Your Leaving Office Form 700 is due no later than **[MM/DD/2022]**).
- ✓ **Reporting Period** (e.g., You are reporting for the period 1/1/2022 through your last day in the position).
- ✓ **The Filer's USER ID** (Note: The USER ID is the filer's email entered when their account was created, which is generally their City-issued email address. This information can be found on the filers' dashboard).
- ✓ **How to File** – **Link to the Filers Page** which provides a link to E-File statement.
- ✓ **The Filer's Disclosure Category** and a **link to Disclosure Category Quick Look-up Guide**
- ✓ **Link to the Form 700 Home Page** (provides important information about the law, disclosure categories, filing and reporting requirements, and consequences of not filing by the deadline.

For your convenience, *Sample Filer Notices* are available on the Filing Officers Page.

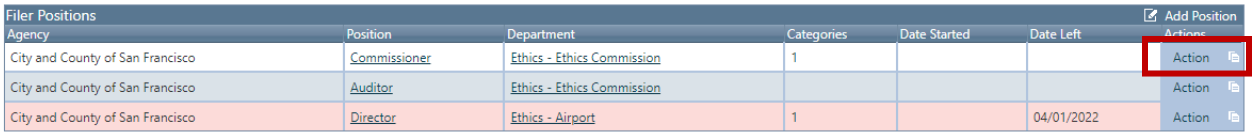
Force Terminating a Filer

Circumstances may occur that require a filer's account to be force-terminated. For example, a filer has passed away while employed in their designated position. Another situation is if a filer has left the position and did not file the required leaving office statement **within 90 days after leaving the position**. Please note that state law requires that there be at least two attempts to notify the filer of their leaving office requirement. Additionally, anytime a force termination is performed, filing officers should make a notation in the filer's NetFile account that sufficiently describes the reason for the force termination. Also note that once a filer's account is terminated, the filer can no longer access their account to file an outstanding statement.

To force terminate a filer account, complete the following steps:

If you have already setup a leaving office requirement in the filer's dashboard (skip to step 3).

Step 1. In the filer's dashboard, click **Action** next to the impacted position in the *Filers Position table*.



Agency	Position	Department	Categories	Date Started	Date Left	Actions
City and County of San Francisco	Commissioner	Ethics - Ethics Commission	1			Action
City and County of San Francisco	Auditor	Ethics - Ethics Commission				Action
City and County of San Francisco	Director	Ethics - Airport	1		04/01/2022	Action

(FIGURE 35)

Step 2. When the *Edit Position Actions* dialog box appear, click the **Leave** button.

Step 3. Enter the date the filer left office and click **Add Leaving Deadline** button.

Step 4. Click **Action** next to the position in the *Filer Positions table* again

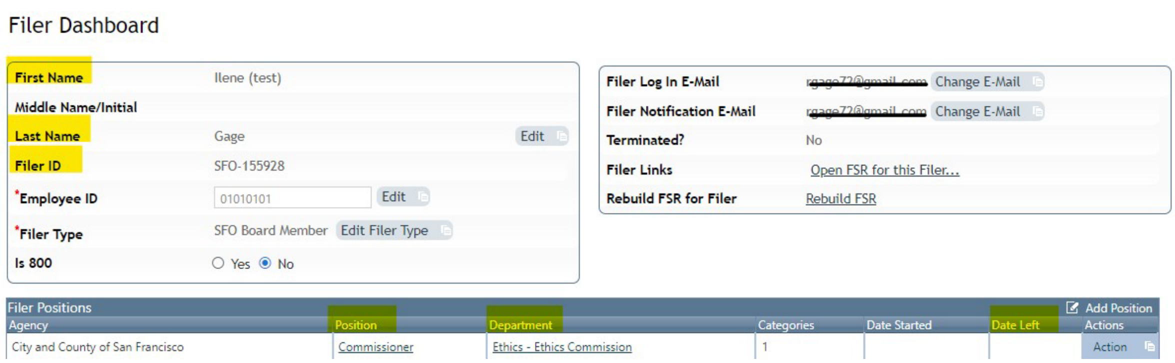
Step 5. In the *Edit Position dialog*, click the **Terminate** button

Step 6. You'll be asked to confirm that you want to terminate, click the **Terminate!** button followed by **OK** to complete the force termination.

DELETING AN ERRONEOUS FILER ACCOUNT

If you create a filer account in error, Ethics Commission staff can delete the filer for you. Note that in order to delete a filer from the NetFile system, the filer must have no filing history in NetFile. To delete an erroneous filer account, submit a ticket through the Form 700 Support Portal. Include the following information for each filer you wish to delete from the system:

- First Name
- Last Name
- Filer ID (shown on the filers' dashboard under their name; *see image below*)
- Department
- Position
- Date Left



SCENARIOS NOT COVERED

If you encounter an offboarding scenario not covered in this chapter, or have questions about the procedures covered, contact the Ethics Commission via our Form 700 Support Portal for guidance.

Annual Requirement

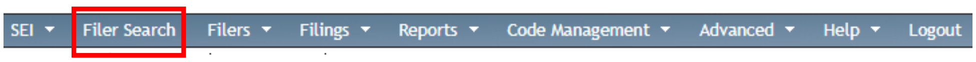
The NetFile system automatically adds the annual filing requirement to active filers on or shortly after January 1st. The system recognizes filers who assumed office between October 1 and December 31 of the previous year and automatically excludes the annual requirement (see section entitled **'Annual Filing Exceptions'** under [Filing Requirements, Deadline and Exceptions]() for details).

REMOVE AN ANNUAL REQUIREMENT

If you determine that an annual requirement was added to a filer in error (e.g., the filer assumed office the between October 1 – December 31 of the previous year and the filer's assuming office date wasn't entered during onboarding), you can manually "exclude" the requirement from the filer's dashboard.

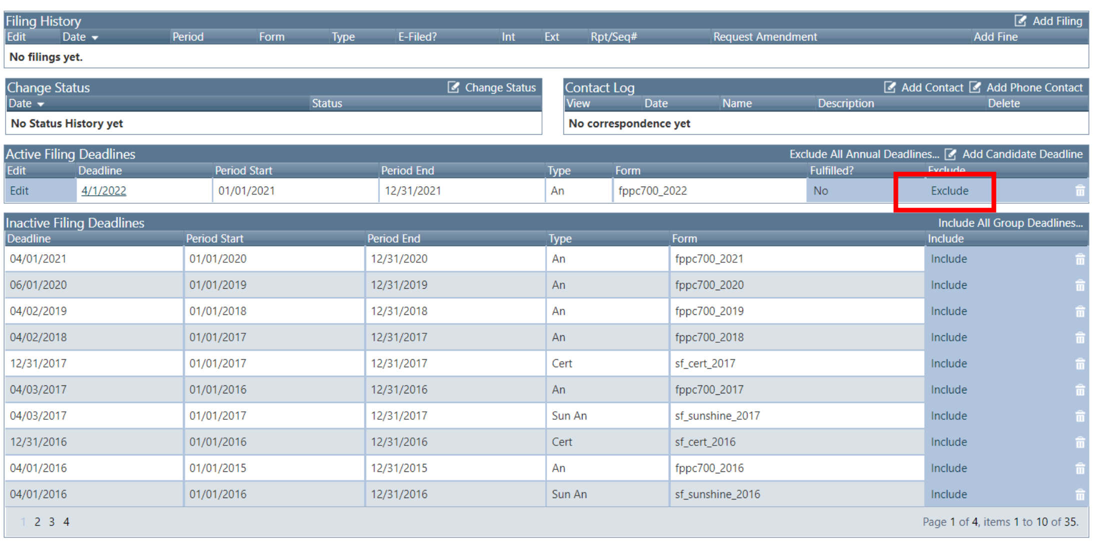
To exclude the annual requirement:

Step 1. Select **Filer Search** on the *main menu*



(FIGURE 36)

Step 2. In the *Active Filing Deadlines* table, click **Exclude** next to the requirement you want to exclude. The annual requirement is labeled 'An' in the *Type* column.



(FIGURE 37)

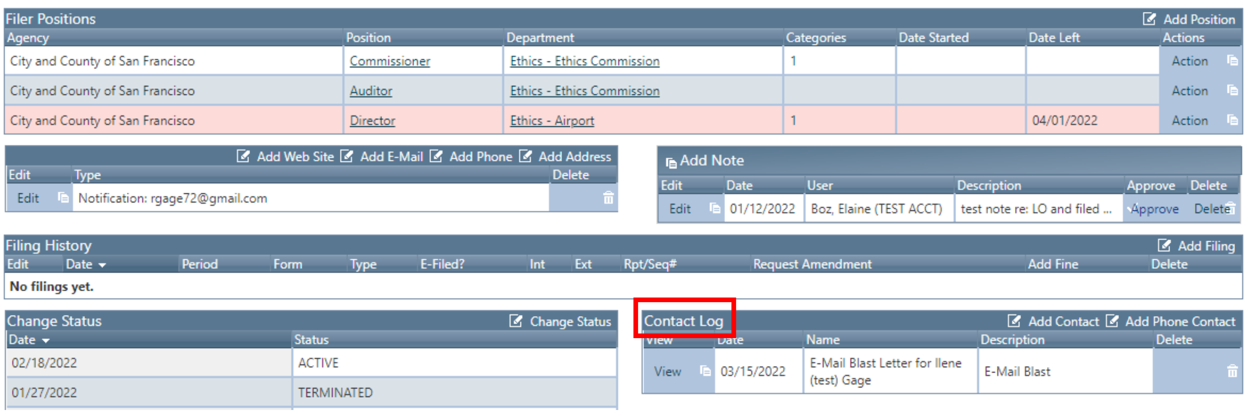
FILER NOTIFICATION

Unlike assuming office and leaving office filer notices, which are the responsibility of departmental filing officers, annual filer notices are generated by the Ethics Commission and sent directly to filers by email during the first week in February and 30 days prior to the annual deadline.

Late Filer Procedures

LATE NOTICES

After any filing deadline has passed (annual, assuming, leaving office), you must follow up with non-filers. This is not a discretionary duty. Written late notifications must be sent to non-filers within 15 days after a deadline (the earlier the better). If applicable, a second late notice should be sent within 30 days after the date of the first late notice. For your convenience, late notice templates are available online; however, you may use your preferred language. We advise adding a note to late filers' accounts to document the date late notice(s) were sent for your audit trail. Alternatively, you can attach a copy of late notice(s) in the "Contact Log" on the filer's dashboard. (Note: Filers cannot see your notes or contact log entries).



(FIGURE 38)

NetFile Reports

VIEW & EDIT FILERS REPORT

Use the View & Edit Filers Report to quickly locate individual filers or all active filers in your department.

[Watch How-to Video Tutorial: View & Edit Filers Report]

FILING STATUS REPORT

Use the Filing Status Report to quickly identify late filers, non-filers and successful filers in your department.

[Watch How-to Video Tutorial: NetFile Filing Status Report]