

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.

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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 | Secured platform accessed by only filing officer ("staff") and Ethics | |
|--------------------------|--|--|
| Portal | 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 Monu | 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 |
| Туре | Refers to Filing Type |
| Cert | Ethics Training applicable <u>only</u> to positions that |
| | file with the Ethics Commission. |
| Sun An | Sunshine Training applicable <u>only</u> to positions |
| | that file with the Ethics Commission. |

Form 700 Elements

| | Filer Information | Pre-populates information entered |
|---------------------|---------------------------|---|
| | Office/Agency Information | |
| Cover Page Sections | Jurisdiction | when mer account was created. |
| | 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 | |
| В | income sources, loan address | |
| С | income address, loan address | |
| D | address | |
| Ε | 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 <u>Department Contact Change Form</u> 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 <u>SEI Form 700 Home Page</u> and 'Filing Officer Responsibilities' available on the <u>Filing Officer Home Page</u>.

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 <u>NetFile Support</u>.

| AN FRANCI | SCO ETHICS COMMISSION | |
|-------------|-----------------------|--|
| TAFF PORTAL | | |
| Log In | | |
| *User | Q | |
| | | |

(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.



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.



- 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
- Help documentation developed by NetFile. (Note: NetFile's documentation may not apply to Departmental Filing Officers. Please refer to <u>Filing Officers Home Page</u> 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 <u>unchecked</u>.
- 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 <u>no later than 30 days after the filer has assumed the position</u>. The sections in this chapter provide detailed instructions for the various onboarding scenarios.



Before onboarding a filer, review 'Assuming Office Filing Exceptions' under <u>Filing</u> <u>Requirements, Deadline and Exceptions</u>.



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 Address | Temp r VI-Mail | Do not use Temporary |
| | | E-mail' option |
| | | |

<u>(Figure 4)</u>

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 prepopulates 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)
- I. **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 <u>Support</u> <u>Portal</u> 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 <u>Annual Filing Exceptions</u> for more information*).
- o. Leaving Office Date (optional) generally, this field should be left blank.

*Required field

ONBOARDING AN EXISTING FILER

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 | | E. |
| City and County of San Francisco | Commissioner | oner EOBCDH Ethics Commission | | 09/09/2016 | 03/05/2019 | Action 🕒 |
| (FIGURE 5) Filer has two positions; the terminated position is highlight | | | | | | |

If the Filer's name exists in the system:

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

| *Search for Name | Crockett | |
|------------------|-----------------|---|
| | Crockett, Davey | _ |
| Proceed | | |



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 <u>active</u> position on their account from another CCSF department, stop here and see <u>Onboarding An Existing Filer Transferring from Another</u> City Department.



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.

| Add Position | | | × |
|---------------------------|------------------------------------|---|---|
| Add New Position to | o Filer | | |
| | | | |
| Department | Department of Public Health | • | |
| *Position | Designated Filer | • | |
| Position # | | | |
| Position Categories | 1 | | |
| Does this filer have an a | ssuming office filing requirement? | | |
| Assuming Office Date | | | |
| Does this filer have a kr | own leaving office date? | | |
| Leaving Office Date | | | |
| Submit | | | |
| | | | |
| | | | |
| | | | |

<u>(Figure 8)</u>

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).

| | This Filer is Terminated | |
|-----------------------|------------------------------------|---|
| artment | Ethics - Controller, Office of the | • |
| tion | Controller | • |
| on # | | |
| ion Categories | | |
| this filer have an as | suming office filing requirement? | |
| ning Office Date | | |
| this filer have a kno | wn leaving office date? | |
| ng Office Date | | |
| | | |

(FIGURE 9)

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

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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 <u>existing</u> Form 700 filer <u>with no break in service</u> 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 <u>Form 700 Support Portal</u> 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 🕒 |



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 <u>Onboarding An Existing</u> <u>Filer</u> 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 <u>Onboarding a New Filer</u> or <u>Onboard and Existing Filer</u> depending on whether the person has an existing account.

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

If an active filer <u>in your department</u> transfers to another designated position <u>within your department</u> (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 | | | | | | |
|----------------------------------|--------------|----------------------------|------------|--------------|-----------|----------|
| 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 | | | E. |
| City and County of San Francisco | Auditor | Ethics - Ethics Commission | | | | ľa. |

(FIGURE 12)

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

| Edit Position | × |
|--|------------------|
| Edit Position Actions | |
| View/Edit Assuming Deadline - 03/21/2022 | |
| How is the filer leaving a position? | |
| Leaving their position entirely? | Leave |
| Transferring to a department/position with identical COI code? | Transfer |
| Did the filer get tied to the wrong position? | Correct Position |
| Need to add a position #? | Change |
| (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.

| dit Position Actions | |
|---|---|
| ransferring a filer to a new position covered odes means that the filer is not required to equirement. If this filer matches those conc he list below. | d by the old position's Conflict Of Interest file a new assuming or leaving office ditions, please select the old position from |
| select filer's position to transfer |] |
| confirm that this filer's position qualifies leaving office deadline. | ; for a transfer that will not trigger a |
| Proceed to Final Step | |
| | |
| | |
| | |
| (Figu | re 14) |

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

| Edit Position | | X |
|---|---|---|
| Edit Position Actions | | |
| You have requested a transfer of position ". | | |
| To complete the transfer, select the destination position | | |
| *Transfer Target Department | • | |
| (EIGURE 15) | | |

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

| Edit Position | X |
|---|---|
| Edit Position Actions | |
| You have requested a transfer of position ". | |
| To complete the transfer, select the destination position | |
| Transfer Target Department Ethics - Airport | • |
| Target Position 🔹 | |
| Submit | |
| (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].

| F | Filer Positions | | | | | | Add Position |
|---|----------------------------------|--------------------|----------------------------|------------|--------------|--|--------------|
| Α | lgency | Position | Department | Categories | Date Started | Date Left | Actions |
| (| City and County of San Francisco | Executive Director | Ethics - Ethics Commission | 1 | | | Action |
| 0 | City and County of San Francisco | <u>Auditor</u> | Ethics - Ethics Commission | | | TR -> Executive Director on 11/19/2021 | Action 🕒 |



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 <u>active</u> 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

Filer Dashboard

An Assuming Office requirement can be added in several ways:

1. When <u>adding a new filer</u> 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

| | | | | Film Lon In F. Mail | weak at an | | | | | - |
|---------------------------------|--|---------------------------|--------------------|------------------------------------|-------------------|----------------|---------------|------------|---------------|----|
| Middle Name/Initial | | | | Filer Log in E-Mail | | | Change E-M | Na1L | | |
| | -6 | | e la co | Filer Notification E-Mail | | 9-0-9 | Change E-M | lail D | | |
| Last Name | - the second sec | | Edit | Terminated? | No | | | | | |
| Filer ID | SE0_154400 | | | Filer Links | Open FS | R for this Fil | er | | | |
| *Employee ID | 100400 | Edit 🕒 | | Rebuild FSR for Filer | Rebuild F | SR | | | | |
| Filer Type | 700 Edit Filer Type | | | | | | | | | |
| ls 800 | 🔾 Yes 💿 No | | | | | | | | | |
| Filer Positions | | | | | | | | | Add Positio | on |
| Agency | Position | | | Department | | Categories | Date Started | Date Left | Actions | 8 |
| City and County of San Franciso | to Engagement and Com | pliance DivisionPrincipal | Program Manager | Designated - Ethics | <u>Commission</u> | 1 | | | Action | 18 |
| Edit Type | 🗹 Add Web Site 🗹 A | dd E-Mail 💽 Add Phone | Add Address Delete | r⊫ Add Note | Description | | | Delete | | |
| Edit 🗈 N/A: 25 Van Ness A | venue, Ste 220 San Francisco CA | 94102 | Delete 💼 | No Notes vet | Description | л | | Delete | | - |
| Edit 🕒 Notification: restant | ومسرفشوس | | â | | | | | | | _ |
| Edit 🕞 Work : (***5): 253-3 | 66 | | Delete 💼 | | | | | | | |
| Filing History | Pariod Form | Turpo E Gilod? | lot F | vt Dot/Soot | Poquert Amondme | at | | Add Ein | 🗹 Add Filir | ıg |
| No filings yet. | Pendu Tohn | Type L-filed: | | λι ηρφσει μ | Request Amendine | n | | Add Till | | |
| Change Status | | | Change Status | Contact Log | | 0 | 🛃 Add Conta | ct 🗹 Add I | phone Conta | ct |
| No Status History yet | Sta | tus | | View Date No correspondence yet | Name | Description | | Delet | e | - |
| Active Filing Deadlines | | | | | Ex 1 | ude All Annua | l Deadlines 📝 | Add Candi | idate Deadlii | ne |
| Edit Deadline | Period Start | Period End | | lype Form | _ | Fulfilled? | Exclu | de | _ | |
| Edit <u>4/1/2022</u> | 01/01/2021 | 12/31/2021 | | An fppc700_2022 | | No | Exclu | ide | | |

(FIGURE 18)

FILER DASHBOARD - FILER'S VIEW

| | Log Ou | ut | | | | | | | | | NetFile User: Pri |
|--------------|---|---|---|------------|----------------|-----------------------------|--|---------------|---------------------------|---|--|
| Prin | ce Dolly (| | EO-151510 | | unt | | | | 1 Got Holp | for this Page | MetFile Video Tuto |
| | cc, bolly (| (12313 | 10 131310 |) 3 ACCO | une | | | | - Get Help | for this rage | Your Account Video: |
| | | | | | | | | | | View on YouTube | |
| Filir | igs to Com | plete | | | | | | | | | Download MP4 |
| Curr | ent Filings | to Com | plete | | | | | | | | Download WMV |
| This | table lists cui | rrent uni | fulfilled filings | you need t | to comple | te. Select the deadlir | ne in the Create column a | nd then click | the Start | Selected | Start Your Filing Video |
| | ment button | | | | | | | | | | View on YouTube |
| Per | iod Start Peri | iod End | Deadline | Form | Туре | Departments | Positions | Create | Edit | Delete | Download MP4 |
| | 1 | | | | | | | | | | Download WMV |
| 1/1 | /2020 12/ | 31/2020 | 04/01/2021 | Fppc700 | Annual | All known | All known | C serec | C I | | Domitional minit |
| 1/1 | /2020 12/ | /31/2020 | 04/01/2021 | Fppc700 | Annual | All known | All known | U Selec | C I | | Amend an E-Filing Vid |
| 1/1 | /2020 12/ | /31/2020 | 04/01/2021 | Fppc700 | Annual Star | All known t Selected Docume | ent | | t | | Amend an E-Filing Vid View on YouTube |
| 1/1 | 72020 127 | /31/2020 | 04/01/2021 | Fppc700 | Star | All known | ent | U Selec | t | | Amend an E-Filing Vid View on YouTube Download MP4 |
| 1/1 | /2020 12/ | /31/2020 | 0 04/01/2021 | Fppc700 | Annual Star | All known | all known | Selec | t | | Amend an E-Filing Vid View on YouTube Download MP4 Download WMV |
| 1/1 E-Fi | ling History | y | 0 04/01/2021 | Fppc700 | Star | All known | all known | | 5 | | Amend an E-Filing Vid View on YouTube Download MP4 Download WMV |
| E-Fi This | ling History | y ur copy (| of all e-filed do | Eppc700 | Star | All known | all known | | view Full | Filing History | Amend an E-Filing Vid View on YouTube Download MP4 Download WMV |
| E-Fi This | ling History | y ur copy o | of all e-filed do | Eppc700 | Star | All known | ant Statement Type | | view Full | Filing History | Amend an E-Filing Vid View on YouTube Download MP4 Download WMV |
| E-Fi This | ling History table lists you Created | y ur copy o Docum | of all e-filed do | Eppc700 | Star | All known | All known ent Statement Type | Uselec | View Full | Filing History Amend | Amend an E-Filing Vid View on YouTube Download MP4 Download WMV Documents NetFile Documents: Your Account Guide |
| E-Fi This | ling History table lists you Created 07/01/2021 | y ur copy o Docum . FPPC | of all e-filed do tents | cuments. | Star | All known | NII KDOM mt Statement Type Assuming | Uselec | View Full View View | Filing History Amend Amend | Amend an E-Filing Vid View on YouTube Download MP4 Download WMV Download WMV Documents NetFile Documents: Your Account Guide User Guide (Full) |
| E-Fi This | ling History table lists you Created 07/01/2021 Filing Da | y ur copy o Docum . FPPC ite Fi | of all e-filed do nents 700 (Amendmen led By | cuments. | Star | All known | Statement Type Assuming | Filing D | View Full View View | Filing History Amend Amend .on | Amend an E-Fiting Vid View on YouTube Download MP4 Download WMV C Documents NetFile Documents: Vour Account Guide User Guide (Full) For software questions: Contact your agency, or |

<u>(Figure 19)</u>

2. When <u>onboarding an existing filer</u>, 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 <u>Assuming Office Filing Exceptions</u> to ensure the filer has an assuming office requirement.

| [*] Department | Ethics - Airport Commission |
|--|--|
| Position | Commissioner |
| Position # | |
| | |
| Position Categories | 1 |
| Position Categories Does this filer have an a | 1 assuming office filing requirement? |
| Position Categories Does this filer have an a Assuming Office Date | 1 assuming office filing requirement? |
| Position Categories Does this filer have an a Assuming Office Date Does this filer have a ku | 1 assuming office filing requirement? |
| Position Categories Does this filer have an a Assuming Office Date Does this filer have a ku Leaving Office Date | 1 assuming office filing requirement? anown leaving office date? |

3. If you <u>inadvertently omit the assuming office date when adding the filer/position</u> 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.

| Edit Position Actions | |
|--|--------------------------|
| How is the filer leaving a position? Leaving their position entirely? | Leave |
| Add an assuming office deadline to this position? | Transfer Add Assuming |
| Did the filer get tied to the wrong position? | Correct Position |
| Delete this position! | Delete |
| Need to add a position #? | Change |
| <u>(Figure 21)</u> | |

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

| <i>Type column.</i> Filer Dashboard | | | | | | | | | |
|--|--|--------------------------|---|-----------------------------|------------------------------|------------------|--------------------------------------|--|---------------------------|
| | | | | Filer Lo | g In E-Mail | rechel ge | a a figur ang | Change E-Mail | |
| Middle Name/Initial | | | | Filer N | otification E-Mai | - | ,, | Change E-Mail | |
| Last Name 📹 | | | Edit 🕒 | Termin | ated? | No | | | |
| Filer ID 6 | E0.454400 | | | Filer Li | nks | Open FSI | for this File | r | |
| Employee ID | E | dit 🗈 | | Rebuild | FSR for Filer | Rebuild F | SR | | |
| *Filer Type 7 Is 800 | 700 Edit Filer Type 🕒) Yes 🖲 No | | | | | | | | |
| Filer Positions Agency | Position | | | | Department | | Categories I | Date Started Date Le | Add Position |
| City and County of San Francisco | Engagement and Compliance | DivisionPrincipal Prog | ram Manager | | Designated - Ethic | s Commission | 1 | | Action 🕒 |
| Edit Type Edit 5 N/A: 25 Van Ness Avenue, S Edit 6 Notification: Control of the Edit 6 Work: Control of the | Add Web Site Add E-Ma E-Ma E-Ma E-Ma E-Ma E-Ma E-Ma E-Ma | ill 🕑 Add Phone 🕑 A | dd Address Delete Delete m m Delete m | r≞ Ad Date No Ne | d Note User otes yet. | Descriptic | n | Delete | |
| Filing History Edit Date √ Period No filings yet. | Form Type | E-Filed? | Int Ex | t Rpt/ | Seq# | Request Amendmer | t | Add | Add Filing Fine |
| Change Status Date ↓ No Status History yet | Status | 🗹 Ch | ange Status | Contact View No corre | Log Date spondence yet | Name | Description | 🗹 Add Contact 🗹 Ad D | dd Phone Contact elete |
| Active Filing Deadlines Edit Deadline Edit <u>4/1/2022</u> | Period Start 01/01/2021 | Period End 12/31/2021 | L L | /pe | Form fppc700_2022 | Excl | ude All Annual Fulfilled? No | Deadlines 💽 Add Ca Exclude Exclude | ndidate Deadline |



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 <u>type</u> with the correct Deadline and Period Start/End (see Figure 23).

| Filing Histo Edit D | ory Date 👻 | Period | Form | Туре | E-Filed? | Int | Ext | Rpt | /Seq# | Request | Amendment | | Add Fine | Add Filing |
|------------------------|---------------|------------|----------|--------|------------|-----------------|-----|---------|------------|-----------------|-------------------|-------------|----------------------|-------------|
| No filings y | /et. | | | | | | | | | | | | | |
| Change Sta | atus | | | | | 🗹 Change Status | (| Contact | Log | | | 🛃 Add Cont | act 🗹 Add Pho | one Contact |
| Date 👻 | | | | Status | | | | View | Date | Name | Description | | Delete | |
| NO Status r | history yet | | | | | | | NO COT | espondence | e yet | | | | |
| Active Filin | g Deadlines | | | | | | | | | | Exclude All Annua | I Deadlines | Add Candida | te Deadline |
| Edit | 4/1/2022 | 01/ | /01/2021 | | 12/31/2021 | | An | ; | fpnc700_2 | 022 | No | Excit | ude | î |
| | | | ., | | 10/01/2021 | | | | 100000-0 | | | | | |
| Inactive Fili | ing Deadlines | Period Sta | art | | Period End | | Typ | e | | Form | | Inclu | lude All Group de | Deadlines |
| 04/01/2021 | | 01/01/20 | 020 | ĺ | 12/31/2020 | | An | | | fppc700_2021 | | Incl | ude | 1 |
| 06/01/2020 | | 01/01/20 |)19 | | 12/31/2019 | | An | | | fppc700_2020 | | Incl | ude | • |
| 04/02/2019 | | 01/01/20 |)18 | | 12/31/2018 | | An | | | fppc700_2019 | | Incl | ude | |
| 04/02/2018 | | 01/01/20 |)17 | | 12/31/2017 | | An | | | fppc700_2018 | | Incl | ude | |
| 12/31/2017 | | 01/01/20 |)17 | | 12/31/2017 | | Cer | rt | | sf_cert_2017 | | Incl | ude | |
| 04/03/2017 | | 01/01/20 |)16 | | 12/31/2016 | | An | | | fppc700_2017 | | Incl | ude | |
| 04/03/2017 | | 01/01/20 | 17 | | 12/31/2017 | | Sur | n An | | of sunshine 201 | 17 | Incl | ude | |
| 42/24/2017 | | 01/01/20 | | | 12/01/2017 | | Sui | | | si_sunsninc_zon | | | | |
| 12/31/2016 | | 01/01/20 | /16 | | 12/31/2016 | | Cer | τ | | st_cert_2016 | | Inci | Ide | |
| 04/01/2016 | | 01/01/20 |)15 | | 12/31/2015 | | An | | | fppc700_2016 | | Inclu | ude | |
| 04/01/2016 | | 01/01/20 |)16 | | 12/31/2016 | | Sur | n An | | sf_sunshine_201 | 6 | Inclu | ude | |
| 1 2 3 4 | 1 | | | | | | | | | | | Page | 1 of 4, items 1 to | o 10 of 35. |



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 <u>Filers Page</u> 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 <u>Filing Officers Page</u>.

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 <u>only</u> 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 <u>Form 700 Support Portal</u> 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 <u>no later than 30 days after</u> 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 <u>Filing</u> <u>Requirements, Deadline and Exceptions</u>.

To terminate a position from a filer's account:

Step 1. Select Filer Search on the main menu.

| SEI 🔻 | Filer Search | Filers 🔻 | Filings 🔻 | Reports 🔻 | Code Management 🔻 | Advanced 🔻 | Help 🔻 | Logout |
|-------|--------------|----------|-----------|-----------|-------------------|------------|--------|--------|
| | | | | | | | | |
| | | | | (Ecup | F 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

| (<u>-</u> , , , , | | | | 1. | | |
|----------------------------------|--------------------------|------------------------------------|---------------------------|--|--------------|----|
| | | | Filer Log In E-Mail | | Change E-M | aı |
| Middle Name/Initial | | | Filer Notification E-Mail | - | Change E-M | ai |
| Last Name | - Cayo | Edit 🕒 | Terminated? | No | | |
| Filer ID | SE0-454400 | | Filer Links | Open FSR for this Fi | ler | |
| *Employee ID | 1664480 | Edit 6 | Rebuild FSR for Filer | Rebuild FSR | | |
| [*] Filer Type | 700 Edit Filer Type 🕒 | | | | | |
| ls 800 | ⊖ Yes ⊙ No | | | | | |
| Filer Positions | | | , | | | |
| Agency | Position | | Department | Categories | Date Started | Da |
| City and County of San Francisco | Engagement and Compliand | e DivisionPrincipal Program Manage | r Designated - Ethics Co | ommission 1 | | |



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

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

| Edit Position Actions | |
|--|------------------|
| How is the filer leaving a position? | |
| Leaving their position entirely? | Leave |
| Transferring to a department/position with identical COI code? | Transfer |
| Add an assuming office deadline to this position? | Add Assuming |
| Did the filer get tied to the wrong position? | Correct Position |
| Delete this position! | Delete |
| Need to add a position #? | Change |



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.

| When leaving office | , filers often have their e-mail change as |
|----------------------|--|
| access to the agency | 's system is disabled. If you know the filer's |
| new e-mail please e | nter it below. |
| Filler's New E-Mail: | (Optional) |
| Add Leaving Deadline | |
| | |
| | |

THE FILER POSITIONS TABLE WILL DISPLAY THE DATE LEFT

| Filer Positions | | | | | _ | Add Positi | on |
|--------------------------------------|------------|---------------------------|------------|--------------|------------|------------|------|
| 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 | Feb. |
| | (Figure | <u>22)</u> | | | | | |

THE ACTIVE FILING DEADLINES TABLE WILL POPULATE THE LEAVING OFFICE REQUIREMENT (LISTED AS "L")

| Active Filin | tive Filing Deadlines 🗹 Add Candidate Deadline | | | | | | | |
|--------------|--|--------------|------------|------|--------------|------------|---------|---|
| Edit | Deadline | Period Start | Period End | Туре | Form | Fulfilled? | Exclude | |
| Edit | <u>1/11/2022</u> | 12/13/2020 | 12/12/2021 | L | fppc700_2021 | No | Exclude | ŵ |
| | | | (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 | | | | | | |
|----------------------------------|--------------------|----------------------------|------------|--------------|--|----------|
| 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 🕒 |

<u>(Figure 29)</u>

FILERS OCCUPYING POSITIONS IN MULTIPLE DEPARTMENTS

If you encounter a filer who occupies <u>active</u> 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 <u>terminating a filer's position</u> 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

| SAN State | FRANC ement of | ISCO Econo | ETHICS | COMM rests E- | ISSIOI Filing | N (TEST) System | | | | | | | | | |
|--------------------------|--|---------------|------------------|------------------|------------------|---------------------------|----------------|-------------|-----------|----------------|--|--|--|--|--|
| Home | Log Ou | 6 | | | | | | | | | NetFile User: Prince, Doll | | | | |
| Princ | e, Dolly (| TESTS | FO-151510 |)'s Acco | unt | | | ₽ G | et Help 1 | for this Page | Your Account Video: | | | | |
| Filin Curre This t | Filings to Complete Current Filings to Complete This table lists current unfulfilled filings you need to complete. Select the deadline in the Create column and then click the Start Selected Document button. | | | | | | | | | | | | | | |
| Devi | | | | | | Departments | Desibles | Country | | | View on YouTube | | | | |
| Perio | 1/1/2022 12/21/2020 04/01/2021 | | Form | Type | Departments | Positions | Create | Edit | Delete | Download MP4 | | | | | |
| 1/1, | 1/1/2020 12/31/2020 04/01/2021 Fppc700 Annual All know | | | | | All known | All known | U Select | | | Amond on E Filing Videou | | | | |
| - | | | | | Star | t Selected Documen | t | | | | View on YouTube Download MP4 Download WMV | | | | |
| E-Fil This t | ing History | | f all e-filed de | cuments | | | | Vie | w Full F | Filing History | L Documents | | | | |
| | able lists you | п сору о | ratte-rited do | cuments. | | | | | | ning maxer). | NetFile Documents: | | | | |
| | Created | Docum | ents | | | | Statement Type | Vi | ew | Amend | Your Account Guide | | | | |
| 4 | 07/01/2021 | EBBC . | 700 (Amendmen | t) | | | Assuming | <u>v</u> : | Lew | Amend | User Guide (Full) | | | | |
| | Filing Date Filed By | | | | | | | Filing Inf | ormati | on | For software questions: Contact your agency, or | | | | |
| | 07/01/2021 | TES | TSF0-151510 | | | | | Accepted: 2 | 008251 | 122 | E-mail mernerp@nethie.com. | | | | |
| | 07/01/2021 | FPPC ' | 700 | | | | Assuming | ¥. | lew | | FPPC Documents: Form 700 Instructions (Full) | | | | |
| | | | | | | | | | | | Form 700 Reference Pamphlet | | | | |

(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 | | | | | | | | | |
|----------------------------------|------------------------|-------------------------------|-----------|---------------------------|------------|---------------|--------------|-----------|-------------|
| - ; | - Rusinste | | | Filer Log In E-Mail | rechal g | | Change E-A | Nail 🕩 | |
| Middle Name/Initial | | | | Filer Notification E-Mail | - | | Change E-A | Nail 🕒 | |
| Last Name | حيبته | E | dit 🕤 | Terminated? | No | | | | |
| Filer ID | SE0.454400 | | | Filer Links | Open FS | R for this Fi | ler | | |
| Employee ID | 100000 | Edit 🕒 | | Rebuild FSR for Filer | Rebuild F | FSR | | | |
| Filer Type | 700 Edit Filer Type 🕞 | | | | | | | | |
| s 800 | 🔿 Yes 💿 No | | | | | | | | |
| | | | | | | | | | - |
| ler Positions gency | Position | | | Department | | Categories | Date Started | Date Left | Add Positic |
| Lity and County of San Francisco | Engagement and Complia | nce DivisionPrincipal Program | n Manager | Designated - Ethics | Commission | 1 | | | Action |

(FIGURE 31)

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

| Edit Position Actions | |
|--|------------------|
| How is the filer leaving a position? Leaving their position entirely? Transferring to a department/position with identical COI code? | Leave |
| Add an assuming office deadline to this position? | Add Assuming |
| Did the filer get tied to the wrong position? | Correct Position |
| Delete this position! | Delete |
| Need to add a position #? | Change |
| | |



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.

| When leaving offic | e, filers often have their e-mail change as |
|---------------------|---|
| access to the agen | cy's system is disabled. If you know the filer's enter it below |
| iler's New E-Mail: | (Optional) |
| Add Leaving Deadlin | ie j |

(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

| First terme Middle Name/Initial Last Name Filer ID "Employee ID "Filer Type Is 800 | iddle Name/Initial ist Name ist Name iler ID ist O SECON imployee ID istronype 700 Edit Filer Type 800 Ves No | | Edit | | Filer Log In E-Mail Filer Notification E-Mail Terminated? Filer Links Rebuild FSR for Filer | | se of governments of for this Fil SR | Change E-N | | |
|--|---|--------------------------|----------|--|---|------------------------------------|--|------------------|---------------------------------|---|
| Lifer Positions Agency Position City and County of San Francisco Engagement and Compliance DivisionPrincipal Prog City and County of San Francisco Engagement and Compliance DivisionPrincipal Prog Edit Type Add Web Site 2* Add E-Mail 2* Add Phone 2* A Edit Type Add Web Site 2* Add E-Mail 2* Add Phone 2* A Edit Type Add Phone 3* 220 San Francisco CA 94102 Edit Notification: | | | | r≞ Ao Date No N | Department Designated - Ethio Id Note User Otes yet. | <u>es Commission</u> Descriptio | Categories 1 | Date Started | Date Left | Add Position Actions Action |
| Edit to Work: the second secon | od Form Type Status | E-Filed? | Delete 💼 | kt Rpt, Contact View No corre | Seq# Log Date espondence yet | Request Amendmer Name | Description | Add Conta | Add Fine ct 💽 Add F Delet | Add Filing Add Filing Phone Contact e date Deadline |
| Edit Deadline Edit <u>4/1/2022</u> | Period Start 01/01/2021 | Period End 12/31/2021 | | ype L | Form fppc700_2022 | EXCI | Fulfilled? No | Excluc Excluc | de de | tate Deauline |

<u>(Figure 34)</u>

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 <u>type</u> filing with the correct Deadline and Period Start/End (see Figure 35).

| Filing Histo Edit D | ory Date 👻 | Period | Form | Туре | E-Filed? | Int | Ext | Rpt | /Seq# | Request | Amendment | | Add Fine | Add Filing |
|------------------------|-------------------------|------------|-----------|--------|------------|-----------------|------|---------|------------|-----------------|--------------------------------|-------------------------|-------------------|--------------|
| No filings y | vet. | | | | | | | | | | | | | |
| Change Sta | atus | | | _ | | 🗹 Change Status | C | Contact | Log | | | 🗹 Add Conta | ct 🗹 Add Pho | one Contact |
| Date - | History yet | | | Status | | | | View | Date | Name | Description | 1 | Delete | |
| NO Status I | instory yet | | | | | | JĽ | | espondence | yet | | | | |
| Active Filin | g Deadlines Deadline | Peri | iod Start | | Period End | | Туре | | Form | | Exclude All Annu Fulfilled? | al Deadlines 🗹 Exclu | Add Candida Ie | ite Deadline |
| Edit | 4/1/2022 | 01/ | /01/2021 | | 12/31/2021 | | An | | fppc700_2 | 022 | No | Exclu | de | â |
| Inactive Fili | ing Deadlines | | | | | | | | | | | Inc | ude All Group | Deadlines |
| Deadline | ing beddines | Period Sta | art | | Period End | | Туре | • | _ | Form | | Includ | le | Deudinies |
| 04/01/2021 | | 01/01/20 |)20 | | 12/31/2020 | | L | | | fppc700_2021 | | Inclu | de | î î |
| 06/01/2020 | | 01/01/20 |)19 | | 12/31/2019 | | An | | | fppc700_2020 | | Inclu | de | ÷ |
| 04/02/2019 | | 01/01/20 |)18 | | 12/31/2018 | | An | | | fppc700_2019 | | Inclu | de | |
| 04/02/2018 | | 01/01/20 |)17 | | 12/31/2017 | | An | | | fppc700_2018 | | Inclu | de | |
| 12/31/2017 | | 01/01/20 |)17 | | 12/31/2017 | | Cert | t | | sf_cert_2017 | | Inclu | de | |
| 04/03/2017 | | 01/01/20 |)16 | | 12/31/2016 | | An | | | fppc700_2017 | | Inclu | de | |
| 04/03/2017 | | 01/01/20 |)17 | | 12/31/2017 | | Sun | An | | sf_sunshine_201 | 7 | Inclu | de | |
| 12/31/2016 | | 01/01/20 |)16 | | 12/31/2016 | | Cert | t | | sf_cert_2016 | | Inclu | de | |
| 04/01/2016 | | 01/01/20 |)15 | | 12/31/2015 | | An | | | fppc700_2016 | | Inclu | de | |
| 04/01/2016 | | 01/01/20 |)16 | | 12/31/2016 | | Sun | An | | sf_sunshine_201 | 6 | Inclu | de | |
| 1 2 3 4 | L . | | | | | | | | | | | Page 1 | of 4, items 1 t | to 10 of 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*.

| Filer Positions | | | | | | | | | | |
|----------------------------------|---------------------|----------------------------|------------|--------------|------------|----------|--|--|--|--|
| Agency | Position | Department | Categories | Date Started | Date Left | Actions | | | | |
| City and County of San Francisco | <u>Commissioner</u> | 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 🗎 | | | | |

<u>(Figure 35)</u>

- 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 <u>Form 700 Support Portal</u>. 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

Filer Dashboard

| First Name | Ilene (test) | | | Filer Log In E-Mail | r gago | 72@gmail.com Char | nge E-Mail 🕞 | |
|---------------------|------------------|-----------------|-------------|---------------------------|-------------------|-----------------------|--------------|---------------|
| Middle Name/Initial | | | | Filer Notification E-Mail | rgage | 72@gmail.com Char | nge E-Mail 👘 | |
| ast Name | Gage | | Edit 🕒 | Terminated? | No | | | |
| Filer ID | SFO-155928 | | | Filer Links | Open | FSR for this Filer | | |
| Employee ID | 01010101 | Edit 🕞 | | Rebuild FSR for Filer | Rebuil | d FSR | | |
| Filer Type | SFO Board Member | Edit Filer Type | | | | | | |
| s 800 | 🔿 Yes 💿 No | | |] | | | | |
| ler Positions | | | Records and | | | Sector and the sector | | 🗹 Add Positio |
| ency | | Position | Department | | Categories | Date Started | Date Left | Actions |

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 <u>Filing Requirements, Deadline and Exceptions</u> 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



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.

| Filing History Edit Date 🗸 | Period Form 1 | fype E-Filed? Int | Ext Rpt/Seq# | Request Amendment | Add Filing Add Filing |
|-------------------------------|---------------|-------------------|--------------|-----------------------|---|
| No filings yet. | | | | | |
| Change Status | 51 · 1 | 🗹 Change Status | Contact Log | | Add Contact 🗹 Add Phone Contact |
| No Status History yet | Statu | IS | No correspon | Date Name Description | n Delete |
| Active Filing Deadlines | | | | Fyclude All Annu | al Deadlines 🛛 🔀 Add Candidate Deadline |
| Edit Deadline | Period Start | Period End | Type Form | n Fulfilled? | Evolude |
| Edit <u>4/1/2022</u> | 01/01/2021 | 12/31/2021 | An fpp | c700_2022 No | Exclude |
| Inactive Filing Deadlines | | | | | Include All Group Deadlines |
| Deadline | Period Start | Period End | Туре | 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 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 nonfilers. 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).

| Filer Pos | sitions | | | | | | | | | | | | | | | Add Pos | ition |
|--|--|-----------|--------|----------|----------|----------|--------------------------|--------|----------|--------------|---------------------------------------|----------------|----------------------|---------------|---------|----------|-------|
| Agency | | | | Position | | Departr | nent | _ | _ | | Categories | Date Starte | ed 🛛 | Date Left | | Actions | |
| City and | County of San | Francisco | | Commiss | ioner | Ethics - | Ethics Com | missio | <u>n</u> | | 1 | | | | | Action | |
| City and County of San Francisco | | | | Auditor | | Ethics - | Ethics - Ethics Commissi | | ssion | | | | | | | Action | |
| City and County of San Francisco | | | | Director | | Ethics - | Airport | | | | 1 | | | 04/01/2022 | | Action | |
| le ra | 🗹 Add Web Site 🗹 Add E-Mail 🗹 Add Phone 🗹 Add Address 📭 Add Note | | | | | | | | | | | | | | | | |
| Edit Jype Delete | | | | | | | | | Edit | Date | User | | Description | | Appro | ve Dele | ete |
| Edit 🖻 Notification: rgage72@gmail.com | | | | | | <u> </u> | | | Edit | ⓑ 01/12/202 | 2 Boz, Elaine (TEST ACCT) test note r | | e: LO and filed Appr | | ove Del | lete | |
| Filing Hi | istory | | | | | | | | | | | | | | [| 🗹 Add F | iling |
| Edit | Date 👻 | Period | Form | Туре | E-Filed? | Int | Ext | Rpt/S | Seq# | Reque | est Amendment | | | Add Fine | D | elete | |
| No filing | gs yet. | | | | | | | _ | | | | | | | | | |
| Change | Status | | | | | 🗹 Cha | inge Status | C | Contact | Log | | | | Add Contact 🗹 | Add P | hone Cor | ntact |
| Date 👻 | | | Status | _ | | _ | | v | /iew | Date | Name | _ | Descrip | tion | | Delete | |
| 02/18/2 | 022 | | ACTIVE | | | | | | View | 6 03/15/2022 | E-Mail Blast Le (test) Gage | tter for llene | E-Mail | Blast | | | |
| 01/27/2 | 022 | | TERMIN | NATED | | | | | | | 1 | | | | | | |

(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