

**FPPC Form 700 or
Statement of
Economic Interests
(SEI) Filing Officer
Training**

Step 1

Read the Memo
from the Ethics
Commission!



25 Van Ness Avenue, Suite 220
San Francisco, CA 94102
Phone 252-3100 Fax 252-3112

TO: Department Head or Appointed Department Staff

FROM: John St. Croix
Executive Director

RE: Statement of Economic Interests (SEI) Filing Officer Duties

This memorandum outlines your filing officer duties as department heads with respect to financial disclosure requirements for designated positions listed in San Francisco Campaign and Governmental Conduct Code Section 3.1-100 to 3.1-500 (Code). Department heads may delegate filing officer-related tasks to a department staff person.

I. Overview

The Code lists positions that must file SEI-related forms such as the SEI, Sunshine Ordinance Declaration, and Certificate of Ethics Training. As a *filing officer*, you are required to file the *Certification of Delivery and Filing Officer Report* and notify individuals who are designated in the Code that they must file their SEI-related filings each year.

- An *elected official, department head, and member of a decision-making board or commission* must file SEIs, Sunshine Ordinance Declarations, and Certificates of Ethics Training with the Ethics Commission.
- An *advisory board or committee member and designated employee* must file SEIs with his or her department, board or commission.

II. Instructions for Filing Officers

Step 1 – Review Your Duties

Please read these instructions carefully and use the following online checklist as a way to review your SEI-related filing officer duties throughout the year.

Filing Officer Checklist: <http://www.sfethics.org/ethics/2010/01/checklist-for-department-heads-and-commissiondepartment-secretaries-filing-officer.html>

Step 2 – Revise Your Department Contact Information

If there are any changes to your department contact information, please provide revised information to the Ethics Commission.

Department Contact Form: <http://www.sfethics.org/ethics/2010/01/checklist-for-department-heads-and-commissiondepartment-secretaries-filing-officer.html>

Step 3 – Look Up the Designated Filer in the Code

Review Code Section 3.1-103 to find out if your elected official, department head, and members of your board or commission are required to file SEIs, Sunshine Ordinance Declarations, and Certificates of Ethics Training with the Ethics Commission. Review Code Sections 3.1-100 to 3.1-500 to find out if your advisory board or committee members and designated employees are required to file SEIs with your department.

Step 2

ONLY when
Your
Department
Information
Changes!

Department Contact Information To Receive SEI-Related Filing Updates

Please fill out this form by providing updated information to the Ethics Commission. You will receive Statements of Economic Interests (SEI) related correspondence. You may email this information directly to the Ethics Commission at ethics.commission@sfgov.org from your official City email account.

Name of Department/Commission: _____

Contact Name: _____

Contact Email Address: _____

Contact Telephone Number: _____

Department Mailing Address: _____

Department City, State, & Zip Code _____

Inter-office Delivery Number: _____

Department Head: _____

Department Head Email Address: _____

Department Head Signature: _____

Date of Signature: _____

File with the Ethics
Commission via email, fax,
inter-office mail, or in
person.

Step 3

Look Up Who Must File with the Ethics Commission

To find out if you must file financial disclosure statements, see if your position is listed in the San Francisco Campaign and Governmental Conduct Code (Code) Section 3.1-100-3.1-500.

Go to www.sfethics.org. Select "Laws and Advice." Select "San Francisco Campaign and Governmental Conduct Code."

Select "Article III: Chapter 1."

Select 3.1-103 to find out if an elected official, department head, or member of a board or commission must file the Form 700, Sunshine Ordinance Declaration, and a Certificate of Ethics Training with the Ethics Commission.

The screenshot shows the 'Laws & Advice' section of a website. It features a navigation menu with the following items:

- Federal Law
- Advice
- Federal Election Commission (FEC)
- State Law
- Political Reform Act
- Local Law
- Government Codes

Below the navigation menu, there are two links: "San Francisco Charter" and "San Francisco Campaign and Governmental Conduct Code (Code)". The "San Francisco Campaign and Governmental Conduct Code (Code)" link is highlighted with a blue box.

The screenshot shows the 'San Francisco, California - Campaign and Governmental Conduct Code' website. It features a navigation menu with the following items:

- CITY AND COUNTY OF SAN FRANCISCO
- ARTICLE I - ELECTION CAMPAIGNS
 - CHAPTER 1: - CAMPAIGN FINANCE
 - CHAPTER 2: - RESERVED
 - CHAPTER 3: - [RESERVED]
 - CHAPTER 4: - RESERVED
 - CHAPTER 5: - REGULATION OF CAMPAIGN
- ARTICLE II - LOBBYING
 - CHAPTER 1: - REGULATION OF LOBBYING
- ARTICLE III - CONDUCT OF GOVERNMENT
 - CHAPTER 1: - CONFLICT OF INTEREST

The 'ARTICLE III - CONDUCT OF GOVERNMENT' and 'CHAPTER 1: - CONFLICT OF INTEREST' items are highlighted with a blue box.

The screenshot shows the 'CHAPTER 1: - CONFLICT OF INTEREST CODE:' website. It features a list of sections:

- SEC. 3.1-100. - DEFINITIONS.
- SEC. 3.1-101. - ADOPTION OF STATE CODE.
- SEC. 3.1-102. - FILING REQUIREMENTS.
- SEC. 3.1-102.5. - FAILURE TO FILE.
- SEC. 3.1-103. - FILING OFFICERS.
- SEC. 3.1-104. - FILING OFFICER REPORTS.
- SEC. 3.1-105. - NOTICE OF APPOINTMENT AND RESIGNATION.
- SEC. 3.1-106. - DISCLOSURE CATEGORIES.
- SEC. 3.1-107. - DISCLOSURE CATEGORY 1.

The 'SEC. 3.1-103. - FILING OFFICERS.' item is highlighted with a blue box.

Step 3

List these Filers on the 2nd Page of the Certification of Delivery

Certification of Delivery-Page 2

Please provide the following information for your department head, elected officials, and members of your boards and commissions. Additionally, please provide this information to the Ethics Commission as individuals leave office or as new appointments are added to your department, board, or commission throughout the year.

Please list only those individuals who are required to file with the San Francisco Ethics Commission. **Do not** provide information for designated employees or members of advisory boards or committees here.

Department /Staff Person's Name Filling Out this Form	Title

Staff Person's Telephone Number	Staff Person's Email Address

+ If you wish, you may provide the information below to the Ethics Commission in MS Excel spreadsheet format.

	First Name	Last Name	Position or Title, Name of Board/Commission or Department	Assuming Office Date	Leaving Office Date	Email (Required)
<i>E X A M P L E</i>	<i>Paula</i>	<i>Orange</i>	<i>Commissioner, Happy Trees Commission</i>	<i>03.15.2010</i>	<i>9.23.2010</i>	<i>Paulaorange@orangeventures.com</i>
1						
2						
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4						
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Keep Track of Each Filer's Contact Information

If any of your decision-making board and commission members, department heads, or elected officials do not file, you must also provide the non-filer's email address, home address, city, state, zip code, and phone number in the Filing Officer Report which is due on or before April 10 of each year. The Ethics Commission will send non-filer notices and refer non-responsive individuals to the FPPC's enforcement division.

Step 3

Look Up who Must File with your Department

Select by department to see a list of designated filers such as advisory board and committee members and designated employees who must file with your department, board, or committee.

[SEC. 3.1-215. - ELECTIONS, DEPARTMENT OF.](#)
[SEC. 3.1-218. - EMERGENCY MANAGEMENT, DEPARTMENT OF.](#)
[SEC. 3.1-220. - RESERVED.](#)
[SEC. 3.1-222. - RESERVED.](#)
[SEC. 3.1-225. - ENVIRONMENT, DEPARTMENT OF THE.](#)
[SEC. 3.1-230. - ETHICS COMMISSION.](#)
[SEC. 3.1-235. - EXAMINERS, PLUMBING, ELECTRICAL AND HIGH-RISE S](#)
[SEC. 3.1-240. - FILM AND VIDEO ARTS COMMISSION.](#)
[SEC. 3.1-242. - FINANCE CORPORATION.](#)
[SEC. 3.1-245. - FINE ARTS MUSEUMS.](#)

Keep Track of Who Must File

Last Name	First Name	Position	Assuming Office Date	Leaving Office Date	SEI (FPPC Form 700) Filing Date
Peters	Violet	Public Administrator			4/1/2011
Oscar	Connie	Analyst	9/5/2011		
Sky	Robert	Planner IV		9/4/2011	9/30/2011
Knight	Steven	Manager II			4/1/2011

Keep Track of Each Filer's Contact Information

If any of your designated employee or advisory board members do not file, you must also provide the non-filer's email address, home address, city, state, zip code, and phone number in the Filing Officer Report on or before April 10 of each year. The Ethics Commission will send non-filer notices and refer non-responsive individuals to the FPPC's enforcement division.

Step 4

Distribute All the Following Forms to Your Department Head and Members of Your Board or Commission.

- SEI (FPPC Form 700)
- Sunshine Ordinance Declaration
- Certificate of Ethics Training
- Checklist of SEI-Related Filing Obligations

- ONLY for department heads: SEI Filing Officer Duties Memo (See step 1.)



Distribute blank SEI Forms to Advisory Board Members and Designated Employees.

Choose a Method that Works for You!

- Interoffice mail
- Regular mail
- Email
- In person



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 25 Van Ness Ave., Suite 220
 San Francisco, CA 94102
 Phone: (415) 252-3100
 Fax: (415) 252-3112
 Email: ethics.commission@sfgov.org
 Web: www.sfethics.org



For SFEC use

**Certification of Delivery:
 Notification of SEI-Related Filing Requirements**

(Filing Officers must file this form to the Ethics Commission annually by March 1.)

This form is to certify that:

1. I have filled out the attached sheet to provide a complete list of the names and e-mail addresses for the department head, elected officials, and members of decision-making boards or commissions related to the department.
2. I have provided copies of the FPPC Form 700, the Sunshine Ordinance Declaration, and the Certificate of Ethics Training to the department head, elected officials, and members of decision-making boards or commissions related to the department, who will then file Form 700 with the Ethics Commission.
3. I have provided copies of the FPPC Form 700 to all designated employees, including consultants, and advising board members in my department who are required to file under the Conflict of Interest Code, San Francisco Campaign and Governmental Conduct Code section 3.1-100-3.1-500.
4. I will submit a Filing Officer Report to the Ethics Commission no later than May 1, listing contact information for all individuals who have not filed their SEI.

I certify that my department/commission has notified the following filers of their assuming office, annual, and leaving office SEI-related filing obligations:

- Elected officials, members of boards and commissions, and department heads
(Please provide information for these individuals on the 2nd page of this form.)
- Advisory committee members and designated employees

On the second page of this form, I am providing information regarding the department head, elected officials, and members of boards and commissions of my department.

Department Head Name	Date this form was completed
Department Head Signature	Date of Signature

Members of your
 Commission as individuals
 throughout the year.

Commission. **Do not**
 filers here.

test format
 fil (Required)

laorange@orange
 wps.com

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Step 6

Keep track of who has filed.

Filers who file with your department

Last Name	First Name	Position	Assuming Office Date	Leaving Office Date	SEI (FPPC Form 700) Filing Date
Peters	Violet	Public Administrator			4/1/2011
Oscar	Connie	Analyst	9/5/2011		
Sky	Robert	Planner IV		9/4/2011	9/30/2011
Knight	Steven	Advisory Committee Member			4/1/2011

Filers who file with the Ethics Commission

Last Name	First Name	Position	Assuming Office Date	Leaving Office Date	Contact Information	SEI (FPPC Form 700) Filing Date
Grey	Ruby	Commissioner		2/1/2011	125 Home St. SF, CA 94105	2/5/2011
Velvet	Sam	Board Member	1/30/2011			2/1/2011
Blue	Bobby	Executive Director			33 Office St. SF, CA 94102	3/12/2011

Keep track of each filer's contact information from the very beginning.

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 Web: www.sfethics.org



For SFEC use

Filing Officer Report:

Providing FPPC Form 700 Non-Filer Information

(Filing Officers must file this form to the Ethics Commission annually on or before April 10.)

This form is to certify that my department has completed the following:

- All elected officials, department heads, members of boards of commissions, advisory committee members, and designated employees have filed their SEI forms. *(If you checked this box, you only need to fill out the first page.)*
- OR
- My department has provided names, titles, direct mailing addresses, phone numbers, and email addresses for elected officials, members of boards and commissions, advisory committee members, department heads, and designated employees who **have not filed their SEIs.**

Filing Officer Report

Contact Information of Non-Filers

Please provide the information for your department head, elected officials, members of board or commission, advisory board members, and designated employees **who have not filed an assuming office, annual, or leaving office FPPC Form 700.**

If you wish, you may provide the information below to the Ethics Commission in MS Excel spreadsheet format.

	First Name	Last Name	Position or Title, Name of Board/Commission or Department	Direct Mailing Address	City	State	Zip Code	Assuming Office Date	Leaving Office Date	Email
1	Paula	Orange	Commissioner, Happy Trees Commission	123 Orange Ventures Street, Suite 900	San Francisco	CA	94105	March 15, 2010	December 15, 2010	Paulaorange@orangeventures.com
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File with the Ethics Commission

- Deliver the originally-signed SEI filings to the Ethics Commission on or before April 1.
- Deliver the Certificate of Ethics Training and the Sunshine Ordinance Declarations.



In Your Office



- Keep the SEI filings of designated employees and non-decision-making advisory board members at your office.
- Print a copy of your tracking sheet and place it in the file for future auditing purposes.

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 Web: www.sfethics.org

FOR SFEC USE

Filing Officer Report:
Providing FPCC Form 700 Non-Filer Information
(Filing Officers must file this form to the Ethics Commission annually on or before April 10.)

This form is to certify that my department has completed the following:

All elected officials, department heads, members of boards of commissions, advisory committee members, and designated employees have filed their SEI forms.
(If you checked this box, you only need to fill out the first page.)
OR
 My department has provided names, titles, direct mailing addresses, phone numbers, and addresses for elected officials, members of boards and commissions, advisory committee members, department heads, and designated employees who **have not filed their SEIs**.
(If you checked this box, you must also fill out the second page of this form.)

SEI filings for a advisory committee members and designated employees are kept at the following location in my department:

Department of _____
 Full Name(s) of Department, Board, or Commission _____
 Street Address _____ Room Number _____
 San Francisco, CA _____
 City, State _____ Zip Code _____
 Name of staff person who manages and responds to public disclosure requests for SEI filings located at my department _____ Title _____
 415- _____
 Staff Person's Direct Telephone Number _____ Staff Person's Email Address _____
 Department Head Name _____ Date this form was completed _____
 Department _____



Filing Officer Report
Contact Information of Non-Filers

Please provide the information for your department head, elected officials, members of board or commission, advisory board members, and designated employees **who have not filed an assuming office, annual, or leaving office FPCC Form 700.**

+If you wish, you may provide the information below to the Ethics Commission in MS Excel spreadsheet format.

	First Name	Last Name	Position or Title, Name of Board/Commission or Department	Direct Mailing Address	City	State	Zip Code	Assuming Office Date	Leaving Office Date	Email
1	Paula	Orange	Commissioner, Happy Trees Commission	123 Orange Ventures Street, Suite 900	San Francisco	CA	94105	March 15, 2010	December 15, 2010	Paulaorange@orangeventures.com
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Step 9

Throughout the Year: For Elected Officials, Department Heads, and Members of Decision-Making Boards and Commissions ONLY

- Notify the Ethics Commission of newly assuming and leaving office dates.**
- Make sure originally-signed SEIs are filed within 30 days of the assuming or leaving office date.**

**Due
within 30
days!**

