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A Quarterly Newsletter

Ethics Matters



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Statement of Economic Interest

Who is required to file?

Public officials who are required to file SEI reports are specified in [ORS 244.050](#). Individuals need to refer to that section of the law to ascertain whether their specific position requires them to file the SEI report. In general, public officials who hold the following positions are required to file:

- ❖ **State:** Public officials who hold elected or appointed executive, legislative or judicial positions. This includes those who have been appointed to positions on certain boards or commissions.
- ❖ **Counties:** Elected officials, such as commissioners, assessors, surveyors, treasurers and sheriffs must file, as do planning commission members and the county's principal administrator.
- ❖ **Cities:** All elected officials, the city manager or principal administrator, municipal judges and planning commission members.
- ❖ **Districts:** Administrative and financial officers in school districts, education service districts and community college districts. As well as some members of the board of directors for certain special districts.
- ❖ **Candidates:** Individuals running for some elected public offices. are also required to file.

Each jurisdiction, i.e. city, county, executive department, board or commission, etc., has designated a person who acts as a point-of-contact for that jurisdiction. This contact is known as the Jurisdictional Contact or JC, for each jurisdiction. The JC has an important role in the annual filing of SEI forms as it is through the JC that the Commission obtains the name and (Continued on pg.2)...



SEI Filer Training Resources

2021 Webinars >>>



Statement of Economic Interest (SEI) Filers

SEI filer webinars offer step-by-step instructions on how to complete the Annual Verified Statement of Economic Interest (SEI) form via the OGE Electronic Filing System (EFS). Find out who has to file, what does not need to be reported, what the two most common mistakes are and more. In addition, it provides an opportunity for SEI filers to ask questions and hear questions asked by others.

Webinar Schedules & Additional Resources

All webinar training sessions are presented by an OGE trainer using audio conferencing and Adobe Connect software. These sessions are available at no charge and are approximately 1 to 1.5 hours in duration.

To access a listing of webinar schedules and learn about additional resources that are available to you, please click on the following link: [SEI Filer Webinar Schedule](#)

SEI – Who is Required to File?

Continued from pg. 1...

email address of each public official who is required to file. When there is a change through resignation, appointment or election, in who holds a position/seat, the JC makes the necessary jurisdictional updates in the Electronic Filing System (EFS). However, if there is a change in the SEI filer's email address or personal profile information, it is the SEI filer's responsibility to make the change in their personal profile account within the EFS. These changes must be submitted annually by **March 15th** to ensure receipt of all information and notifications pertaining to SEI filing.

In addition, it is the SEI filer's responsibility to ensure they comply with the requirement to complete and submit their SEI report annually by **April 15th**. Therefore, it is highly recommended that all SEI filers check and update their profile information within the EFS on a regular basis to make sure they receive all information and notifications sent by the Commission. ■

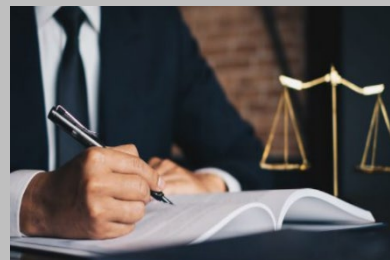
Important Dates:

March 15, 2021
April 15, 2021



SEI Filer Tips

- Review and reference the [SEI Filer handbook](#) for assistance in completing your SEI report.
- Ensure that your profile information is current and up-to-date.
- Be sure to **check the box for “none”** in answer to any questions that do not apply to you.
- Fill out Question 2, all SEI filers are required to list a source of income.
- Before submitting the SEI report, on the final page you must “check the box” to confirm submission and type in your name (first & last) as the “electronic signature”.



SEI Filer Requirements and Reporting



Beginning **March 15th**, the window for public officials to file their statement of economic interest opens. Approximately 5,500 public officials are required by law to file an annual statement of economic interest (SEI) by **April 15th**. SEIs are another method to ensure transparency in governance and establish the public trust as part of Oregon Revised Statutes (ORS) Chapter 244. These annual statements ask filers 10 questions, ranging from sources of income to business associations that may have a legislative or administrative interest (more commonly known as an “economic interest”) in their financial decisions as a public official.

Here is a review of the 10 questions asked on the SEI report:

Question 1A requires SEI filers to list any businesses in which they or a member of their household maintained a position as an “officer” or “director” during the preceding calendar year.

Question 1B requires SEI filers to list the names of businesses that they or members of their household did business under.

Question 2 requires SEI filers to list all **sources** of income (not the amount of income) that made up 10% or more of their total annual household income in the preceding calendar year.

NOTE: Do not leave Question 2 unanswered. Everyone should have some source of income, such as “Social Security”, “X Company” (employer), etc.

The purpose of these first two questions are to help show where a SEI filer’s financial interest lies.

Question 3 requires SEI filers to list all real property located within the geographical boundaries of the jurisdiction they serve, **other than their principal residence**, in which the SEI filer or household members had any ownership interest, option to purchase or sell, or other legal right in the preceding calendar year. For example, a county commissioner would list any properties, such as rentals, vacant lots, or commercial property they own that is located within the county boundaries. Legislators, statewide elected officeholders, and appointed state officials must disclose relevant property owned anywhere in the State of Oregon. Examples of appointed state officials who are SEI filers include public university presidents, the Director of the Oregon Health Authority, and the Executive Director of the Oregon Government Ethics Commission.

Questions 4A and 4B are directed towards specific events that a public official attended in the preceding calendar year, where their expenses were paid by a source **other than the jurisdiction they serve**.

- 4A covers events where expenses were paid by a government entity, Native American tribe, membership organization or a non-profit organization, where the public official was participating in a convention, fact-finding mission, or where they were representing the government. In addition, the paying entity should provide the public official a notice/receipt of the costs within ten days of the date the expenses occurred – ORS 244.100(1).

Please Note: This is the first of the two instances in which SEI filers are required to upload a notice/receipt to their annual SEI report per ORS 244.100.

- 4B covers events where the public official represents a government body on an officially sanctioned or designated: trade promotion, fact finding mission, negotiation or economic development.

SEI REPORT REVIEW Continued...

Question 5 asks SEI filers to report any honoraria over \$15 in value that they received in the preceding calendar year. Honoraria is something of economic value given to a public official in exchange for services where custom or propriety prevents setting a price, where the service is usually a speech or presentation. SEI filers list all items over \$15 in value and include details such as the nature of the event, the provider's name and the date and amount received. The giver of the honoraria should provide a notice/receipt to the public official within ten days of the event for which the item was received. [ORS 244.100(2)]

Please Note: This is the second of the two instances in which SEI filers are required to upload a notice/receipt to their annual SEI report per ORS 244.100.

Question 6 directs the SEI filer to list any compensated lobbyist who was associated with a business that the SEI filer or a household member was also associated within the preceding calendar year. If any businesses or sources of income from questions 1 and 2 paid a lobbyist registered in Oregon, the SEI filer would list those businesses here.

The remaining questions 7 through 10 are directed towards businesses or individuals that have an "economic" interest in the public official's decisions and votes as a public official.

Question 7 requires the SEI filer to list any individual or business from whom the SEI filer or household member received an income of \$1,000 or more that had an economic interest in their role as a public official.

Question 8 requires the SEI filer to list any individual or business to whom the filer or member of their household owed a debt of \$1,000 or more and that had an economic interest in their role as a public official. Excluded are debts owed to banks for credit card purchases or other personal debts owed to financial institutions.

Question 9 requires the SEI filer to list any individual or business that the SEI filer or member of their household had a personal, beneficial interest in, or investment of, more than \$1,000 and that had an economic interest in their role as a public official.

Question 10 requires the SEI filer to list any individual or business that paid the SEI filer, as an individual, a service fee of more than \$1,000 and that had an economic interest in their role as a public official.

The final section of the statement of economic interest is where a public official would upload any notices or receipts they received concerning questions 4A and 5.

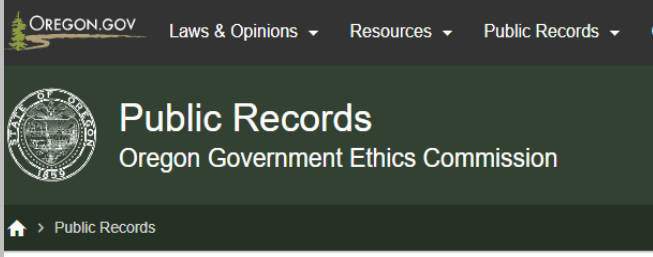
CHOOSE THE ROLE OF >>>

Statement of
Economic Interest
(SEI) Filer

Accessing the EFS & Public Records

As of 2016, all statements of economic interest are filed electronically and are available for review on the Oregon Government Ethics Commission's website. Citizens may review these statements by going to www.oregon.gov/ogec, then selecting "Public Records." Halfway down the page, there is an option labeled "Electronic Filing System – EFS" which is an active link. After selecting that link, citizens will then select "Search EFS Public Records" which will then take them to our electronic filing system for public record searches. This same tool allows citizens to view not only statements of economic interest, but information regarding registered lobbyists and client/employers, and legal expense trust funds, dating back to 2016 free of charge.

STEP ONE:



STEP TWO:

Electronic Filing System - EFS

Use this link to view records that are available on-line.

STEP THREE:

Public Records Search

PUBLIC RECORDS

- Advice & Opinions
- Cases & Complaints
- Legal Expense Trust Funds
- Lobby Registrations & Expenditure Reports
- Statements of Economic Interest
- Case Dispositions

Searching for records in the Government

The records contained in the Electronic Filing System include:

- Lobbyist Registrations
- Lobbyist and Client/Employer quarterly expenditure reports
- Annual Statement of Economic Interest filings

[Search EFS Public Records](#)

When you click on the link to search the Commission's records, you will be taken to the EFS Public Records search page.



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Coming Soon >>>

- *Lobbyist Quarterly Reporting*
- *Training Resources & Updates*
- *Legislative Updates*