



## 2021 Statement of Economic Interests (SEI) – Form 700 Filing Officer Informational Fact Sheet Cities and Counties

### **What is new:**

**Regulations 18115, 18115.1 and 18115.2 have been updated.**

### **FPPC Contacts**

Cities A- M – Sonia Rangel  
[Form700@fppc.ca.gov](mailto:Form700@fppc.ca.gov) 916-323-6229

Cities N – Z – Laura Mandler  
[Form700@fppc.ca.gov](mailto:Form700@fppc.ca.gov) 916-324-3722

Counties –Laura Mandler  
[Form700@fppc.ca.gov](mailto:Form700@fppc.ca.gov) 916-324-3722

### **Annual Deadline: April 1, 2021**

*(Late fine will be imposed if the statement is filed passed the due date.)*

Filers whose statements are forwarded to FPPC will use either their agencies' FPPC certified electronic filing system or FPPC's electronic system to file their Form 700s.

### **Answers to reporting questions:**

Call: 1-866-275-3772 or  
E-mail: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

*Please send questions regarding electronic filing to [Form700@fppc.ca.gov](mailto:Form700@fppc.ca.gov).*

Training Workshops and Webinars:

#### [Training](#)

*Watch our on-demand video and sign up for workshops and webinars!*

Continue to check for [dates and locations](#)

### **Your Checklist for Agencies Using FPPC's E-Filing System**

- **Keep filers' information current in the electronic system including assuming and leaving office information. (Regulation 18115, 18115.1 and 18115.2)**
- Make statements accessible to the public during your regular business hours.

Requestors may remain anonymous.  
(Sec. 81008)

### **For statements retained by your agency:**

- Supply filers disclosure categories and forms or a link to a website where filers can download a form.
- Conduct a facial review on all statements, and a full review on at least 20% of timely filed statements and on all late statements.
- Follow up on non-filed statements and make enforcement referrals, if necessary. Use the Notification Guidelines on the FPPC website for guidance.

### **Your Checklist for Agencies Using Their Own E-Filing System**

- Keep filer information current in both your agency's system and the FPPC system (system automatically notifies filers).
- Effective January 1, 2018, your agency's systems are required to allow electronic data exchange with the FPPC electronic system for Form 700 statements that are filed electronically and required to be forwarded to the FPPC. **Please ensure the information in your system exactly matches FPPC's system. (Regulation 18115, 18115.1 and 18115.2)** Check the data exchange to confirm transmission.
- Communicate with FPPC regularly about filer status.
- Provide public access.

### **For statements retained by your agency:**

- Keep filer information current (system automatically notifies filers).
- Conduct a facial review on all statements, and a full review on at least 20% of timely filed statements and on all late statements.
- Follow up on non-filed statements and make enforcement referrals, if necessary. Use the Notification Guidelines on the FPPC website for guidance.
- Provide public access.

Advice E-mail: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)  
FPPC Toll-Free Helpline: 866/275-3772

Jan/2021



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If a filer passes away, please notify your FPPC Contact. This way a notice will not be sent to the family.

Make sure you are giving out the correct year forms and amendments.

### ➤ Gift Limit

The gift limit for 2020 was \$500 which remains in effect until December 31, 2020. As of January 1, 2021, the gift limit is \$520 (2021-2022). For more information on gift limits and disclosure, review the Gift, Honoraria, Travel & Loans fact sheet on our website.

**For those that are filing on paper:**

**Date stamp all paper statements as they are received!**

Forward original Form 700s for the following 87200 positions (including candidates) to the FPPC **by April 7, 2021:**

### Cities

City Council Members  
Mayor  
Planning Commissioners (including alternates)  
City Manager  
City Attorney  
Chief Administrative Officer  
City Treasurer (only forward the Finance Director's statement if your city does not have a treasurer)

### Counties

Supervisors  
Chief Administrative Officer  
District Attorney  
County Counsel  
County Treasurer  
Planning Commissioners (including alternates)

**Send Paper Statements to:**

Fair Political Practices Commission  
1102 Q Street, Suite 3000  
Sacramento, CA 95811

**Do not forward statements for the following:**

- Filers covered under your agency's conflict of interest code (be sure to always provide a copy of the filer's disclosure category to them when providing the form 700.).
- Public officials who manage public investments (e.g., retirement board members and investment officers).

### Your Checklist - Paper

For statements that you forward to the FPPC:

**Date stamp all paper filed statements. Notify filers about the deadline.**

- Keep copies for four years and originals for seven years. (Sec. 81009).
- Make statements accessible to the public during your regular business hours. Requestors may remain anonymous. (Sec. 81008)
- Continue to monitor when assuming, leaving, and candidate statements should be filed, and forward these to the FPPC within five days of the filing deadlines.
- Notify FPPC about 87200 nonfilers so we may follow up with them.
- Post a list on your agency's website of the filers whose statements are forwarded to the FPPC. Include both their names and position titles. (Sec. 87505)



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### Electronic Filing Specific FAQs

**Q** – Do all my filers use FPPC’s new electronic filing system?

**A** – No. The system will only be used by those filers whose statements are forwarded to FPPC. Statements from all your other filers will be processed at your agency as they have been in previous years.

**Q** – As a filing officer, how do I begin using FPPC’s new system?

**A** – All filing officers received an e-mail from the FPPC that provided a login ID and training guide. If you haven’t already done so, verify your agency’s filers’ information to ensure accuracy and to provide a current e-mail address for each filer. This effort will replace the annual requirement of reviewing and submitting the Article II list.

**Q** – What happens once my filers’ information has been updated?

**A** – Once your filers’ information is updated, they will receive an e-mail which provides a login ID and password that they use to file their Form 700. The e-mail also provides access to a video that explains how to file statements online.

If you have added new filers since your first update, or if you have filers who left since then, the system will generate e-mails to those filers notifying them to complete their assuming or leaving office statement.

**Q** – What about filing expanded statements when a filer holds more than one position?

**A** – New Regulation 18723.1(a) defines “Expanded Statement of Economic Interests, (ESEI)” “primary position,” and “additional position” for purposes of the regulation. Subdivision (c) would authorize, but not require, an official with multiple positions subject to filing obligations to file an ESEI for each position, rather than a separate and

distinct SEI for each position. That provision would also specify processes for filing such a statement: the original ESEI is filed for the official’s primary position and a copy of that ESEI is filed for each additional position, as specified.

### General FAQs

**Q** – I have a filer on military leave. Do I send the Form 700 overseas for the filer to complete?

**A** – No. Simply note this in your log (or, in the case of an individual whose statement is forwarded to FPPC, notify us) and have the individual file his/her annual statement upon returning.

**Q** – We have a new planning commissioner. Is the assuming office date, the date the city council appointed her or the date she attends her first meeting?

**A** – The assuming office date is the date the planning commissioner is sworn in or begins to perform the duties, whichever is earlier.

**Q** – Is an amendment request necessary if the “total number of pages” line on the Cover Page is left blank?

**A** – No. Listing the total number of pages included with the Form 700 filing is not required by law; it is included simply as a tool to ensure that all pages are received.

**Q** – If a filer leaves an office specified in Gov. Code Section 87200 and assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected as mayor), have to file a leaving office and an assuming office Form 700?

**A** – No. If there was not a break in service of 45 days or more, the person will continue to file annual statements.



## 2021 Statement of Economic Interests (SEI) – Form 700 Filing Officer Informational Fact Sheet Cities and Counties

**Q** – Does a board member who has been reappointed, or an employee who moved from one designated position to another designated position within our agency, have to file a leaving office and an assuming office Form 700?

**A** – No. If there was not a break in service of 30 days or more, the person will continue to file annual statements.

**Q** – A newly appointed planning commissioner assumed office on October 15, 2020 and filed an assuming office statement. Must he file an annual statement on April 1, 2021?

**A** – No, any filer who assumed office between October 1 and December 31, 2020, and filed an assuming office statement does not need to file an annual statement until April 1, 2022. The period covered on the newly appointed planning commissioner's statement will be October 16, 2020, through December 31, 2021.

**Q** – My filers make a lot of mistakes on Parts 1 through 3 of the Cover Page. May I complete that information for them?

**A** – Yes, so long as you do so prior to having them complete their schedules. Once they have signed the form, you cannot make any changes to their statement. Any amendments must be completed by the filer on the appropriate amendment schedule.

**Q** – Although we are approved by FPPC for e-filing of the Form 700, some filers email scanned copies of signed statements instead of filing electronically. Are these acceptable?

**A** – No. If a filer chooses not to file electronically, an original signature is required.

### **City Specific FAQs**

**Q** – A city planning commissioner was elected to the city council in the November election. Must he file assuming and leaving office statements?

**A** – No, the official will simply continue to file annual statements.

**Q** – The assistant city manager has been appointed the acting city manager. Must she file assuming and leaving office statements?

**A** – Yes, because she is assuming a position covered by Section 87200, she must file an assuming office statement which is forwarded to FPPC.

### **County Specific FAQs**

**Q** – The assistant county counsel has been appointed as the acting county counsel. Must she file an assuming office statement?

**A** – Yes, because she is assuming a position covered by Section 87200, she must file an assuming office statement, which is forwarded to the FPPC.

**Q** – A county planning commissioner was elected to the Board of Supervisors in the November election. Must he file assuming and leaving office statements?

**A** – No, the official will simply continue to file annual statements.

**Q** – Although we are approved by FPPC for e-filing of the Form 700, some filers email scanned copies of signed statements instead of filing electronically. Are these acceptable?

**A** – No. If a filer chooses not to file electronically, an original signature is required.

**Please do not use acronyms when listing agency names.**



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### Other Forms

#### **Appointments – Form 806**

Do your agency members receive \$250 or more to serve on other boards or commissions? Click [here](#) for Form 806 information.

#### **New Positions – Form 804**

Regulation 18734 requires an individual hired for a position not yet covered under your agency's conflict of interest code to file Form 700 if the individual serves in a position that makes or participates in making governmental decisions.

Use of the Form 804 helps agencies identify new positions and disclosure requirements for individuals serving in new positions. Form 804 is recommended as it promotes uniform reporting among agencies. Form 804 is retained by your agency and is found [here](#).

#### **Example:**

Your agency recently hired an IT Specialist. This is a brand-new position, and thus is not yet included in your agency's conflict of interest code. Because this individual will make decisions on purchasing computer software, the position must be added to the code. In the meantime, this person will file Form 700 under the broadest disclosure category (or limited disclosure if provided for on Form 804) until the code is amended to include this position.

#### **Form 802 – New Rules**

FPPC Regulation [18944.1](#) sets out the circumstances under which an agency's distribution of tickets to entertainment events, sporting events, and like occasions would not result in a gift to individuals that attend the function. In general, the agency must adopt a policy which identifies the public purpose served in distributing the admissions. The Form 802 serves to detail each event and the public purpose of each ticket distribution.

**The FPPC does not receive Campaign Forms. They are not filed with or forwarded to the FPPC.**

**Form 410 – Filed with the Secretary of State**

**Form 460/470 – Filed with the City or County**