



2021 Statement of Economic Interests (SEI) – Form 700 Filing Officer Informational Fact Sheet State Agencies

What is new:

Regulations 18115, 18115.1 and 18115.2 have been updated.

Regulation 18723.1

“Subdivision (b), however, provides that a statewide elected officer is not required to list additional positions as they already provide full disclosure throughout the State. Filing for additional positions would not provide additional disclosure.”

Your FPPC contact is:

Andrea Carey
Form700@fppc.ca.gov
916-323-3213

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.

March 1, 2021 – Annual Deadline for:

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

- Coastal Commissioners
- Public Utilities Commissioners
- California High Speed Rail Members
- Board of Equalization Members
- State Energy Resources Conservation and Development Commissioners
- Elected Members of the Board of Administration of the Public Employees' Retirement System
- Elected Members of the Teachers' Retirement Board

April 1, 2021 - Annual Deadline for Most Other Filers

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

- Check your conflict of interest code to determine which statements are sent to the FPPC. Generally, it is the head of your agency and board and commission members. This information is typically located in the second paragraph of the first page of your agency's conflict of interest code.
- Form 700s are not filed with FPPC unless your conflict of interest code specifically requires you to do so.
- Be sure these filers are entered in your electronic filing system or FPPC's electronic system if you do not have an electronic filing system.

Answers to reporting questions:

Call: 1-866-275-3772 or
E-mail: advice@fppc.ca.gov

Please send questions regarding electronic filing to 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*



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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)
- E-mail copies of statements filed by members of boards, commissions, and similar multimember bodies to 700copies@fppc.ca.gov if you do not already forward the original statements to the FPPC. (Sec. 87500(h))

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.

➤ 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.

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 Form 804 helps agencies identify new positions and disclosure requirements for individuals serving in new positions. The 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.



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Consultants - Form 805

State and local government agencies may use new Form 805 to identify consultants that will make or participate in making governmental decisions on behalf of the agency. Form 805 identifies the disclosure requirements for individuals serving in these positions and is retained at your office. For more information, refer to the FPPC website and Regulations 18700.3 and 18734.

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.

Conflict of Interest Code Biennial Notices Due in 2021

The Political Reform Act requires each State Agency to review its conflict of interest code biennially and notify the FPPC as to whether it needs to be amended. The biennial notice must be submitted to the FPPC no later than March 1, 2021. Your agency will receive further information on this requirement soon.

Your Checklist - Paper

- **Date stamp all paper statements.**
- Notify filers about the deadline.
- Provide the agency's conflict of interest code; the disclosure categories must be known when an individual completes the form.
- Make statements accessible to the public during your regular business hours. Requestors may remain anonymous. (Sec. 81008)
- Continue to keep filer's information current in the system. Continue to monitor when assuming and leaving office statements should be filed.

- E-mail copies of statements filed by members of boards, commissions, and similar multimember bodies to 700copies@fppc.ca.gov if you do not already forward the original statements to the FPPC. (Sec. 87500(h))

For original statements that you forward to the FPPC that aren't e-filed:

- Forward assuming, annual, and leaving office statements to the FPPC within five days of the filing deadlines. Remember to send the actual "wet signature" SEI and not a copy.
- Keep copies for four years. (Sec. 81009)

Send Statements to:

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

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 for forms and amendments.



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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 – An interim/acting executive director has been hired from outside the agency. Are persons serving in interim positions required to file statements?

A – Yes, persons serving in interim positions must file statements in the same manner as if they were holding the positions permanently.

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 statement upon returning.

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 – 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. As long as there was not a break in service of 30 days or more, the person will continue to file annual statements. However, there may be changes to the filer’s disclosure category.



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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.

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 may not make any changes to their statement. Any amendments must be completed by the filer on the appropriate amendment schedule.

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 – What are my responsibilities for an unsigned statement that must be forwarded to the FPPC?

A – Unless you can quickly obtain the signature before it is date stamp, please forward the unsigned statement to the FPPC for follow up.

Q – A board member appoints a designee to serve when she cannot attend a meeting. Must the designee file a Form 700?

A – Yes, the designee must file a statement.

Please do not use acronyms when listing agency names.