California's Political Watchdog:

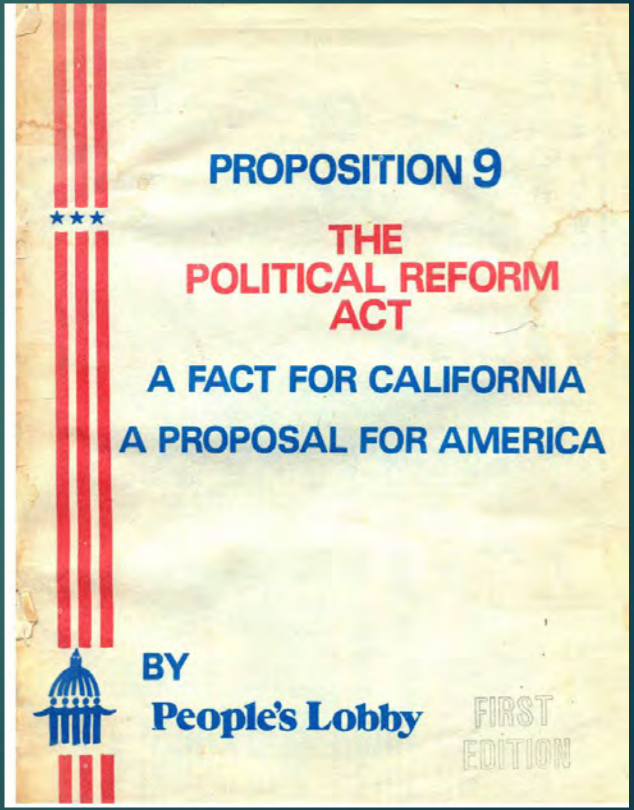
Fair Political Practices Commission

Our Mission:

"The mission of the Fair Political Practices Commission is to promote the **integrity** of representative state and local government in California through **fair**, **impartial** interpretation and enforcement of political campaign, lobbying, and conflict of interest laws."

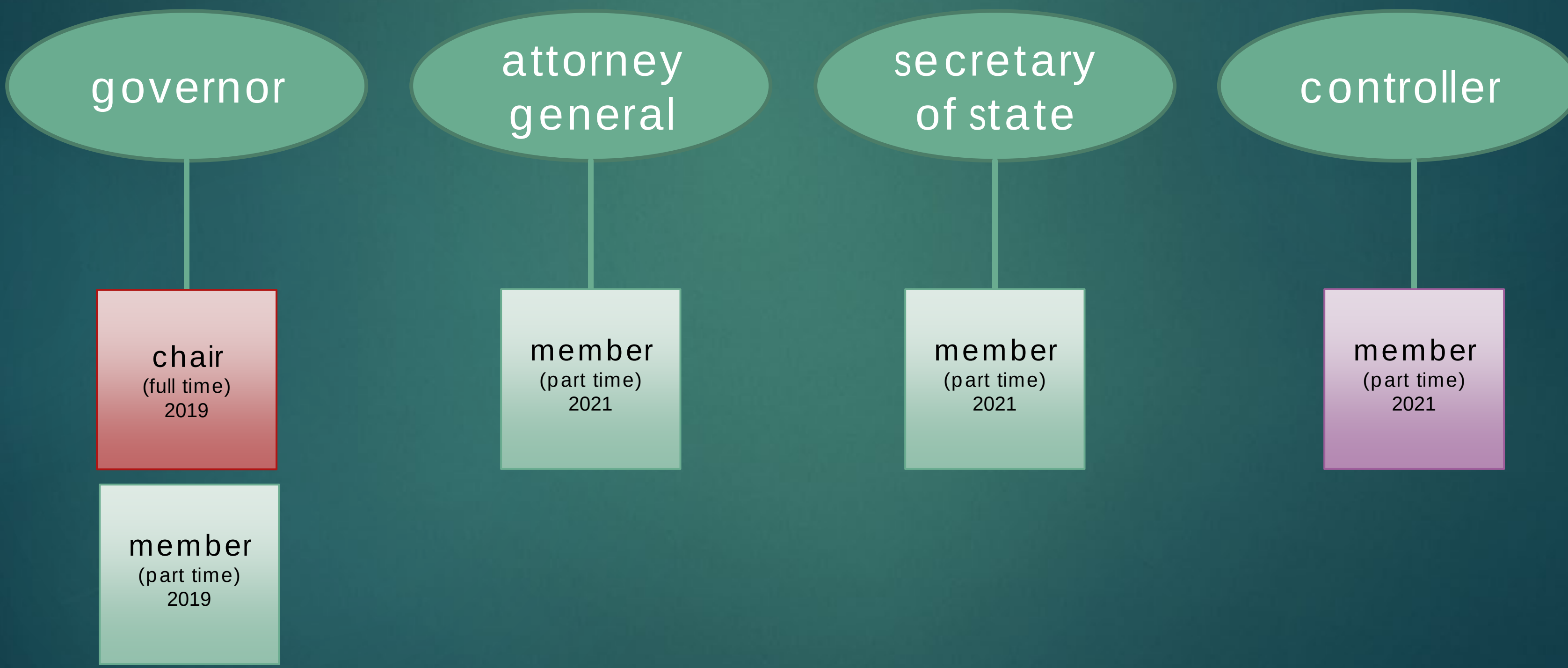
Our History:

- Proposition 9, the Political Reform Act, was approved by California voters in 1974 by 70%.
- Created the FPPC.
- Created new laws related to campaigns, lobbying, and conflicts of interest.
- Regularly amended to address new and changing needs.



ABOUT THE COMMISSION

NON PARTISAN & INDEPENDENT

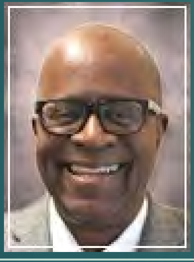


MEET THE COMMISSIONERS

Chair
Miadich

Vice Chair
Baker

Commissioner
Wilson



Commissioner
Gómez

Commissioner
Wood

FACTS & FIGURES

$15 million agency budget out of $280 billion state budget	500,000 public officials	2000+ lobbyists	20,000 campaign committees & candidates
80 employees	2000+ special districts; 482 cities and town; 58 counties	3400 lobbyist employers	$500+ million spent on campaigns
Offices in Sacramento	Oversight applies to small & large, urban and rural areas	$340+ million spent on lobbying	Ballot measures and candidate campaigns

ABOUT THE FPPC

Campaign disclosure

Contribution limits

Lobbyists

Conflicts of interests

Ethics, gifts, honoraria

LEGAL ADVICE

The Commission provided advice to over **19,000 inquiries** submitted via phone and e-mail, 160 Formal Advice letters and presented 43 webinars and workshops throughout the state. These training events addressed disclosure requirements for the Form 700, candidate/treasurer basics, and filing officer responsibilities.

ENFORCEMENT

In 2020 the Commission successfully resolved **1,526 cases**, including 271enforcement settlements approved by the Commission, resulting in fines totaling **$1,940,107.**

Thank You!

FAIR POLITICAL PRACTICES COMMISSION: A WORKSHOP FOR FILING OFFICERS

Presented by:

Chloe Hackert and Adam Ramirez
Education & External Affairs Unit
Fair Political Practices Commission

September 7, 2022

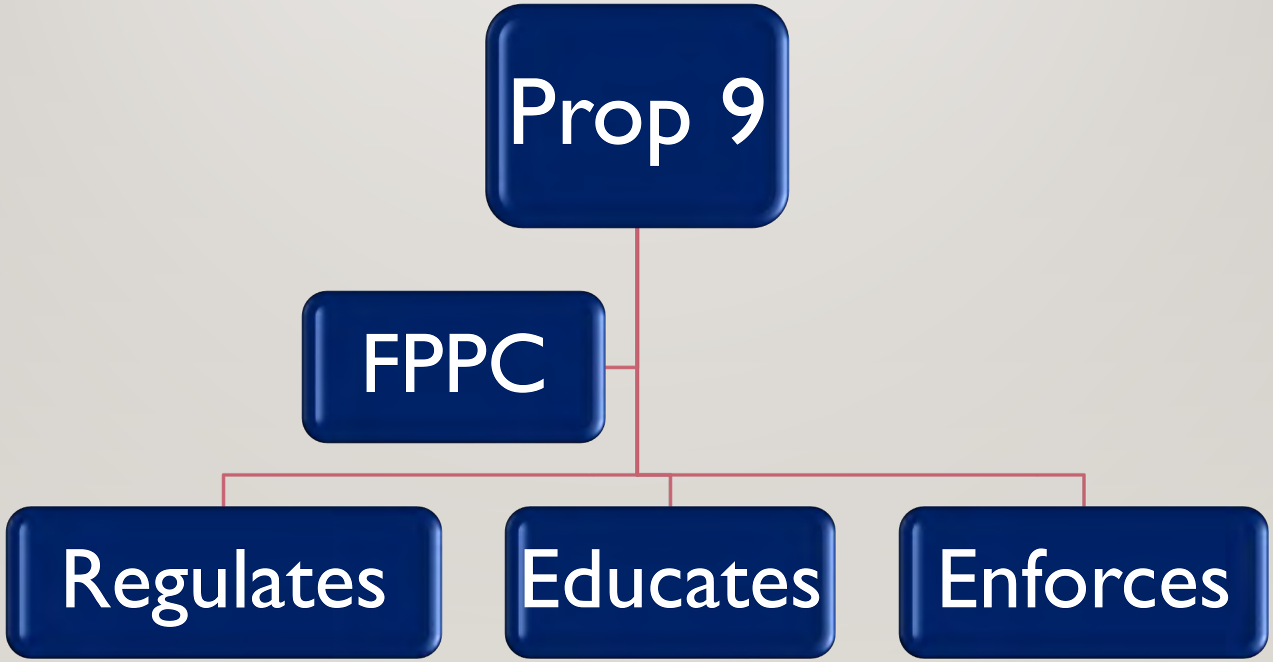
STATEMENTS OF ECONOMIC INTERESTS

LOCAL FILING OFFICER DUTIES

PRESENTED BY:

CHLOE HACKERT AND ADAM RAMIREZ
EDUCATION & EXTERNAL AFFAIRS UNIT
FAIR POLITICAL PRACTICES COMMISSION

FAIR POLITICAL PRACTICES COMMISSION (FPPC)



TOPICS

- Conflict of Interest Codes and the Form 700
- Types of Filers
- Filing Officer Duties
- Notification Guidelines
- Assuming and Leaving Office Statements
- Reviewing Statements
- Amendments
- Public Access
- Statement Retention
- Where do they go?
- Tracking Log
- Fining Policy
- Non-Filers
- Enforcement Referrals
- Electronic-Filing

CONFLICT OF INTEREST CODES AND FORM 700

- All government agencies must adopt a conflict of interest code
- Codes designate positions within the agency that make or participate in making governmental decisions
- Individuals in these positions file Form 700
- Disclosure categories are assigned to each position
- Some filers disclose all economic interests in their jurisdiction, but others will have limited disclosure

TYPES OF FILERS

- Designated Employees (Code Filers)
- 87200 Filers
- Alternates, Designees, and Ex-Officio Board Members
- New Positions (Form 804)
- Consultants (Form 805)

TYPES OF FILERS: 87200 FILERS

- Board of supervisors*
- Chief administrative officer
- County counsel
- District attorney*
- Planning commissioners
- County treasurer*

- Mayor and Council Members*
- Chief Administrative Officer
- City Manager
- City Attorney
- City Treasurer*
- Planning Commissioners

*and candidates for these positions

TYPES OF FILERS: DESIGNATED FILERS

Examples:

- Deputy Director Administration
- Assistant City Clerk
- Public Information Officer (all levels)
- IT Manager
- Economic Development Coordinator
- Senior Engineer of Planning
- Fleet Maintenance Supervisor
- Deputy Chief Child Support Services

TYPES OF FILERS: BOARDS AND COMMISSIONS

Board and commission members that participate in decision making meetings are required to file—regardless if they are paid or have voting authority.

This also applies to individuals serving as:

- Alternate members
- Designee members
- Ex-officio members

FORM 804
NEW POSITIONS

- Identifies new positions involved in making governmental decisions
- Assigns level of disclosure
- Filer must file under full disclosure if disclosure level is not specified
- Individuals must file within 30 days of assuming office
- Kept with agency's conflict of interest code

Agency Report of:
New Positions

A Public Document

California Form 804

1. Agency Name (Also include, Division, Department, or Region (if applicable))

City of Oakland

Agency Contact

Smith, Adam - Executive Director

Phone Number

(206) 555-6525

Email

adam.smith@cityofoakland.ca.gov

☐ Amendment

Date of Original Filing: ______ (month, day, year)

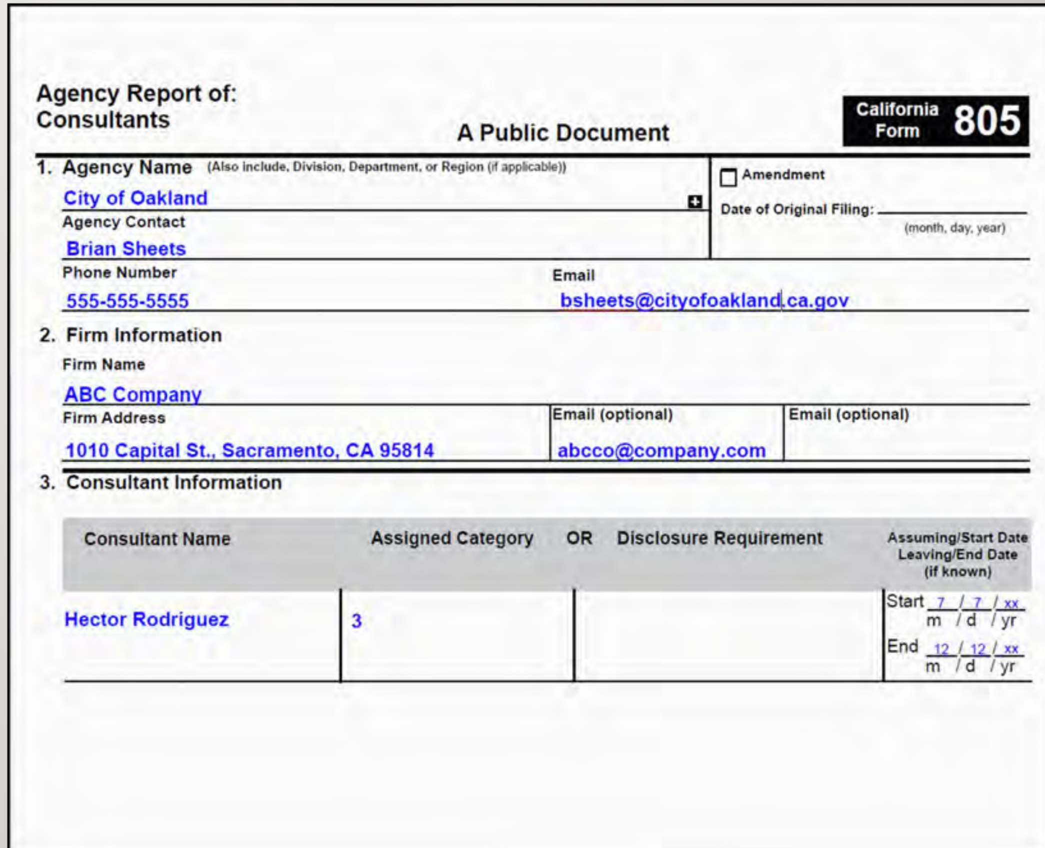
2. New Position Information

Position Title/Classification and Job Summary	Assigned Category	OR	Disclosure Requirement	Assuming/Start Date (Optional)
Data Processing Manager (manages IT)	3			Start 03 / 03 / XX (m / d / yr)
Licensing Director (duty statement attached)			All investments, business positions in business entities, and sources of income including gifts, loans, and travel payments, that are of the type subject to licensing by the department or are subject to regulation by the city. *(Alternately, attach a written explanation)*	Start 03 / 08 / XX (m / d / yr)

FORM 805

CONSULTANTS

- Identifies consultants involved in governmental decision making on behalf of the agency
- Assigns level of disclosure
- Filer must file under full disclosure if disclosure level is not specified
- Individuals must file within 30 days of assuming office
- Kept with agency's conflict of interest code



Agency Report of: Consultants

A Public Document

California Form **805**

1. Agency Name (Also include, Division, Department, or Region (if applicable))

City of Oakland

Agency Contact

Brian Sheets

Phone Number

555-555-5555

Email

bsheets@cityofoakland.ca.gov

☐ Amendment

Date of Original Filing: ____ (month, day, year)

2. Firm Information

Firm Name

ABC Company

Firm Address

1010 Capital St., Sacramento, CA 95814

Email (optional)

abcco@company.com

Email (optional)

3. Consultant Information

Consultant Name	Assigned Category	OR Disclosure Requirement	Assuming/Start Date Leaving/End Date (if known)
Hector Rodriguez	3		Start 7 / 7 / xx (m / d / yr) End 12 / 12 / xx (m / d / yr)

FILING OFFICER DUTIES
REGULATION 18115

- Notify individuals of filing obligations
- Provide form or link to form
- Ensure that statements are timely filed
- Retain statements and maintain a tracking log
- Notify filers of due dates, errors, and late statements
- Review completed statements
- Forward appropriate statements to FPPC
- Provide public access
- Refer violations to FPPC Enforcement Division

YOUR RESPONSIBILITIES AS A FILING OFFICER

Filing officers **Can:**

- Supply the Form 700
- Notify filers of due dates
- Accept and review completed statements
- Notify filers of errors and request amendments
- Provide contact information for technical help for e-filing systems

Filing officers **Cannot:**

- Provide detailed information on how to complete the form
- Provide answers to gift and travel payment questions

PRE-FILING NOTIFICATION GUIDELINES

- Notify at least 30 days prior to annual deadline*
- Notify by email, mail, or in person
- Provide disclosure categories to code filers
- Email notifications should link to Form 700, Reference Pamphlet, FAQs, and gift fact sheets on FPPC website

** Not required for FPPC filers so long as a current email address is included in the filer's electronic filing system profile*

FILING DEADLINES

- Annual statement
  - Judges – March 1
  - Most other filers – April 1
  - Assuming office statement — within 30 days of assuming office
- Leaving office statement — within 30 days of leaving office
- No deadline extensions unless a filer is serving in active military duty

ASSUMING OFFICE STATEMENTS

- Filed within 30 days of starting a new job.
- Period covered is the preceding 12 months.
- No annual statement required in new year if office assumed between October 1 – December 31, and filed an assuming office within 30 days.

Assuming office statement NOT required if…

- filer completes term of office and begins a new term of the same office within 30 days.
- filer is 87200 filer and assumes other 87200 position in same jurisdiction within 45 days.
- filer moves from one designated position to another designated position within the same agency.

LEAVING OFFICE STATEMENTS

- Filed within 30 days of leaving position.
- Period covered is January 1 – last day of work. Report:
  - investments and real property that are held on last day.
  - income (including gifts, loans, and travel payments) received since January 1.
- Combined leaving and annual statements may be filed by annual deadline or by last day of work, whichever comes first.

Leaving office statement NOT required if…

  - filer completes term of office and begins a new term of the same office within 30 days.
  - filer is 87200 filer and assumes other 87200 position in same jurisdiction within 45 days.
  - filer moves from one designated position to another designated position within the same agency (in most cases).

FACIAL REVIEW OF THE FORM 700

A facial review is required for **all** statements maintained by the agency to ensure the cover page is accurate. Look for:

- Name and address of filer
- Period covered
- Type of statement
- Summary completed
- Schedules attached
- Original signature

FULL REVIEW OF THE FORM 700

A full review of the entire form is required on:

- 20% of all timely filed statements—half being selected at random
- Statements that do not pass facial review
- All late statements

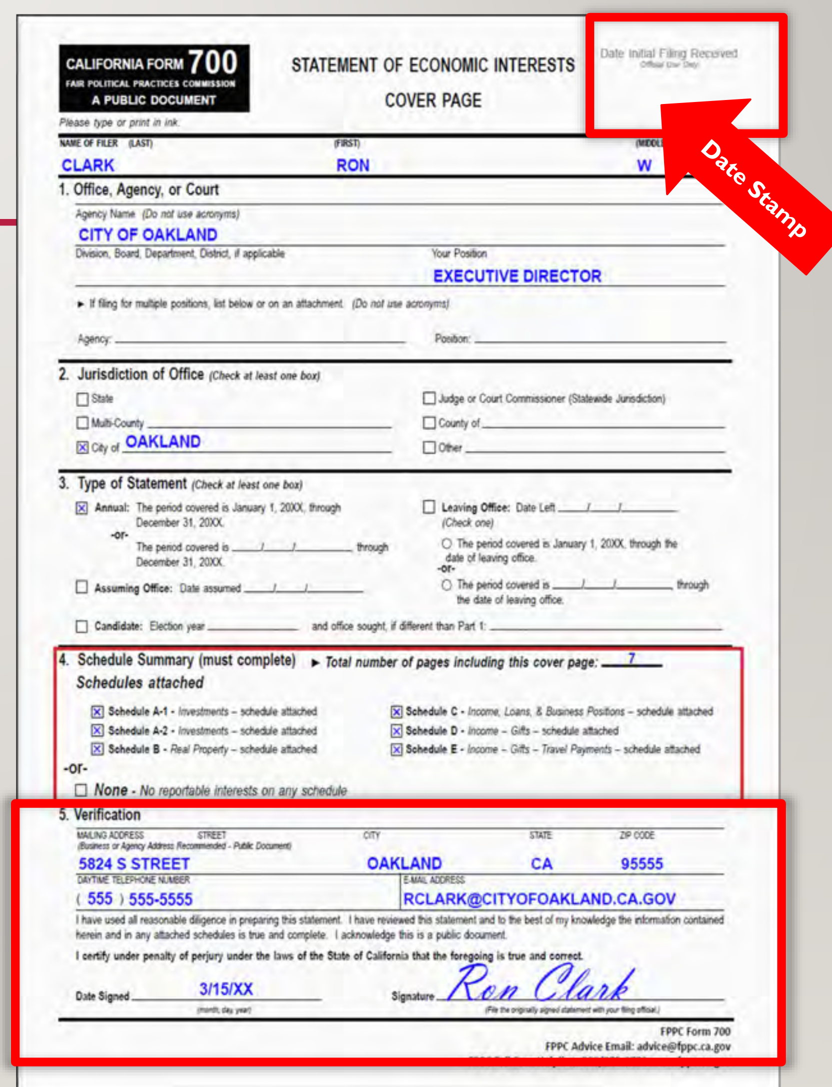
Quick Tips!

- Use review guide/amendment request form
- Compare with filer's disclosure category

COVER PAGE

- Remember to date stamp statements as they are received.
- Filer's business or agency address is recommended.
- An Excel formatted Form 700 is available online.*

*File a Form 700 > Form 700 > Form 700 – Excel Format



CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION
A PUBLIC DOCUMENT

STATEMENT OF ECONOMIC INTERESTS
COVER PAGE

Date Initial Filing Received
Official Use Only

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)
CLARK RON W

1. Office, Agency, or Court
Agency Name (Do not use acronyms)
CITY OF OAKLAND
Division, Board, Department, District, if applicable — Your Position
EXECUTIVE DIRECTOR
► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)
Agency: ______ Position: ______

2. Jurisdiction of Office (Check at least one box)
☐ State
☐ Judge or Court Commissioner (Statewide Jurisdiction)
☐ Multi-County ______
☐ County of ______
☒ City of OAKLAND
☐ Other ______

3. Type of Statement (Check at least one box)
☒ Annual: The period covered is January 1, 20XX, through December 31, 20XX.
-or-
The period covered is ___/___/___, through December 31, 20XX.
☐ Assuming Office: Date assumed ___/___/___
☐ Leaving Office: Date Left ___/___/___
(Check one)
○ The period covered is January 1, 20XX, through the date of leaving office.
-or-
○ The period covered is ___/___/___, through the date of leaving office.
☐ Candidate: Election year ______ and office sought, if different than Part 1: ______

4. Schedule Summary (must complete) ► Total number of pages including this cover page: 7
Schedules attached
☒ Schedule A-1 - Investments – schedule attached
☒ Schedule A-2 - Investments – schedule attached
☒ Schedule B - Real Property – schedule attached
☒ Schedule C - Income, Loans, & Business Positions – schedule attached
☒ Schedule D - Income – Gifts – schedule attached
☒ Schedule E - Income – Gifts – Travel Payments – schedule attached
-or-
☐ None - No reportable interests on any schedule

5. Verification
MAILING ADDRESS STREET CITY STATE ZIP CODE
(Business or Agency Address Recommended - Public Document)
5824 S STREET OAKLAND CA 95555
DAYTIME TELEPHONE NUMBER — E-MAIL ADDRESS
(555) 555-5555 — RCLARK@CITYOFOAKLAND.CA.GOV

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed 3/15/XX (month, day, year)
Signature Ron Clark (File the originally signed statement with your filing official.)

FPPC Form 700
FPPC Advice Email: advice@fppc.ca.gov

SCHEDULE A-1
INVESTMENTS: STOCKS, BONDS, & OTHER INTERESTS (OWNERSHIP LESS THAN 10%)

Common Reportable Interest:

- Stocks and partnerships

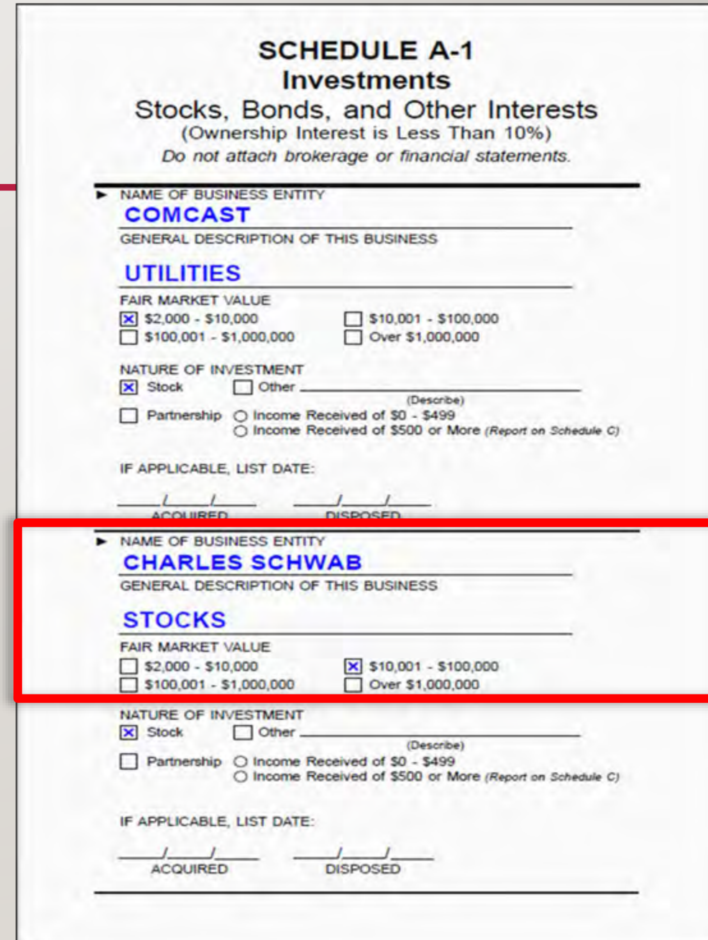
Common Errors:

- Fair market value not checked
- Managed account reported instead of itemized stocks
- Financial statements attached instead of schedules
- Partnership reported on Schedule A-1, but income not reported on Schedule C

COMMON ERRORS: SCHEDULE A-1

- Filer must disclose the name of the company that holds the stocks, NOT the investment company that manages the portfolio.

ERROR!



SCHEDULE A-1
Investments
Stocks, Bonds, and Other Interests
(Ownership Interest is Less Than 10%)
Do not attach brokerage or financial statements.

► NAME OF BUSINESS ENTITY
COMCAST
GENERAL DESCRIPTION OF THIS BUSINESS
UTILITIES
FAIR MARKET VALUE
☒ $2,000 - $10,000 ☐ $10,001 - $100,000
☐ $100,001 - $1,000,000 ☐ Over $1,000,000
NATURE OF INVESTMENT
☒ Stock ☐ Other ______ (Describe)
☐ Partnership ○ Income Received of $0 - $499
○ Income Received of $500 or More *(Report on Schedule C)*
IF APPLICABLE, LIST DATE:
__/__/__ ACQUIRED __/__/__ DISPOSED

► NAME OF BUSINESS ENTITY
CHARLES SCHWAB
GENERAL DESCRIPTION OF THIS BUSINESS
STOCKS
FAIR MARKET VALUE
☐ $2,000 - $10,000 ☒ $10,001 - $100,000
☐ $100,001 - $1,000,000 ☐ Over $1,000,000
NATURE OF INVESTMENT
☒ Stock ☐ Other ______ (Describe)
☐ Partnership ○ Income Received of $0 - $499
○ Income Received of $500 or More *(Report on Schedule C)*
IF APPLICABLE, LIST DATE:
__/__/__ ACQUIRED __/__/__ DISPOSED

SCHEDULE A-1: EXCEL FORMAT

SCHEDULE A-1

Investments

Stocks, Bonds, and Other Interests

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

Name:

RON CLARK

NAME OF BUSINESS ENTITY	GENERAL DESCRIPTION OF THIS BUSINESS ACTIVITY	FAIR MARKET VALUE (Select from drop down list)	NATURE OF INVESTMENT (Select from drop down list. If "other," describe)	IF APPLICABLE, LIST DATE (mm/dd/20XX) ACQUIRED	DISPOSED
COMCAST	UTILITIES	\$2,000 - \$10,000	Stock		
AT&T	TELECOMMUNICATIONS	\$2,000 - \$10,000	Stock		
APPLE	COMPUTER SYSTEMS	\$2,000 - \$10,000	Stock		
JOHNSON & JOHNSON	PHARMACEUTICAL	\$2,000 - \$10,000	Stock		
WAL-MART	RETAIL	\$2,000 - \$10,000	Stock		
COCA-COLA	BEVERAGE	\$2,000 - \$10,000	Stock		
MACY'S	RETAIL	\$2,000 - \$10,000	Stock		
UNDER ARMOUR	CLOTHING	\$2,000 - \$10,000	Stock		
FITBIT INC	HEALTH/TECHNOLOGY	\$2,000 - \$10,000	Stock		
BANK OF AMERICA	FINANCE	\$2,000 - \$10,000	Stock		
ACTIVISION BLIZZARD	VIDEO GAME	\$2,000 - \$10,000	Stock		
INTEL CORP	SOFTWARE	\$2,000 - \$10,000	Stock		
FORD MOTOR CO	VEHICLE MANUFACTURING	\$2,000 - \$10,000	Stock		
NEWS CORP	NEWS	\$2,000 - \$10,000	Stock		
ELECTRONIC ARTS INC	VIDEO GAME	\$2,000 - \$10,000	Stock		
NORDSTROM INC	RETAIL	\$2,000 - \$10,000	Stock		
MICRON TECHNOLOGY INC	ROBOTICS/TECHNOLOGY	\$2,000 - \$10,000	Stock		

SCHEDULE A-2
INVESTMENTS, INCOME & ASSETS OF BUSINESS ENTITIES/TRUSTS
(OWNERSHIP 10% OR GREATER)

Common Reportable Interests:

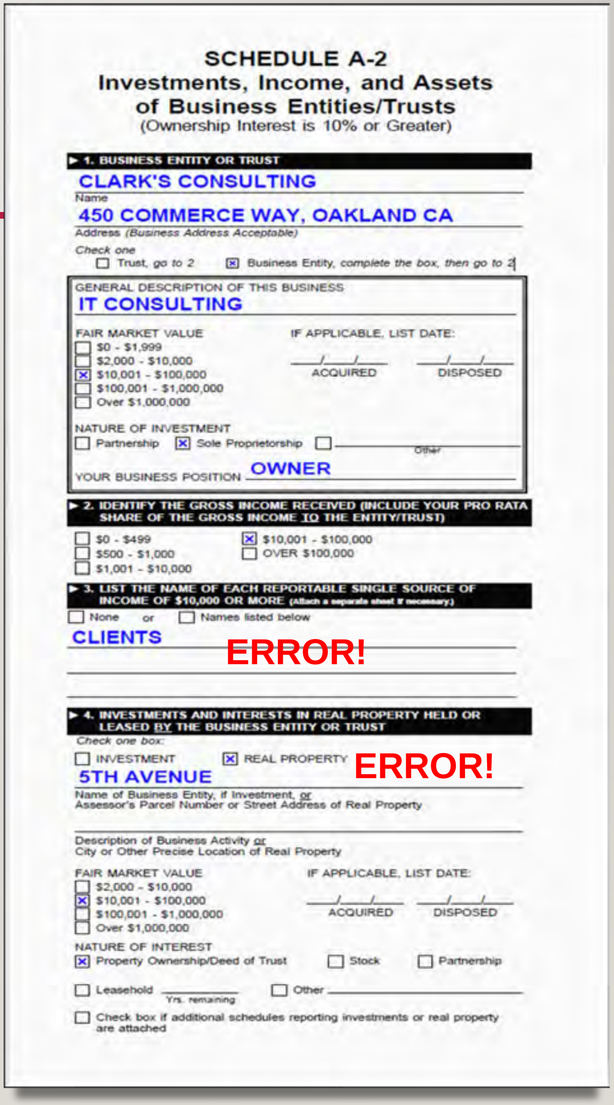
- Filer's, spouse's/registered domestic partner's business
- Living trust holdings:
  - Real property
  - Investments – stock

Common Errors:

- Fair market value not reported
- Gross income received not reported
- Failure to disclose clients/income of $10,000 or more
- Precise location of real property not reported

COMMON ERRORS: SCHEDULE A-2

- Filer must list the specific name of each reportable single source of income or check the "none" box)
- Filer must identify the precise location of property held by the business or trust (complete physical address or Assessor's Parcel Number)


SCHEDULE A-2
Investments, Income, and Assets of Business Entities/Trusts
(Ownership Interest is 10% or Greater)

1. BUSINESS ENTITY OR TRUST

CLARK'S CONSULTING
Name

450 COMMERCE WAY, OAKLAND CA
Address *(Business Address Acceptable)*

Check one
☐ *Trust, go to 2* ☒ *Business Entity, complete the box, then go to 2*

GENERAL DESCRIPTION OF THIS BUSINESS
IT CONSULTING

FAIR MARKET VALUE
☐ $0 - $1,999
☐ $2,000 - $10,000
☒ $10,001 - $100,000
☐ $100,001 - $1,000,000
☐ Over $1,000,000

IF APPLICABLE, LIST DATE:
___/___/___ ACQUIRED ___/___/___ DISPOSED

NATURE OF INVESTMENT
☐ Partnership ☒ Sole Proprietorship ☐ ________ Other

YOUR BUSINESS POSITION OWNER

2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)
☐ $0 - $499
☐ $500 - $1,000
☐ $1,001 - $10,000
☒ $10,001 - $100,000
☐ OVER $100,000

3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF $10,000 OR MORE (Attach a separate sheet if necessary)
☐ None or ☐ Names listed below

CLIENTS
ERROR!

4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST
Check one box:
☐ INVESTMENT ☒ REAL PROPERTY
ERROR!

5TH AVENUE
Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property

Description of Business Activity or City or Other Precise Location of Real Property

FAIR MARKET VALUE
☐ $2,000 - $10,000
☒ $10,001 - $100,000
☐ $100,001 - $1,000,000
☐ Over $1,000,000

IF APPLICABLE, LIST DATE:
___/___/___ ACQUIRED ___/___/___ DISPOSED

NATURE OF INTEREST
☒ Property Ownership/Deed of Trust ☐ Stock ☐ Partnership
☐ Leasehold ________ Yrs. remaining ☐ Other ________

☐ Check box if additional schedules reporting investments or real property are attached

SCHEDULE B
INTERESTS IN REAL PROPERTY

Common Reportable Property:

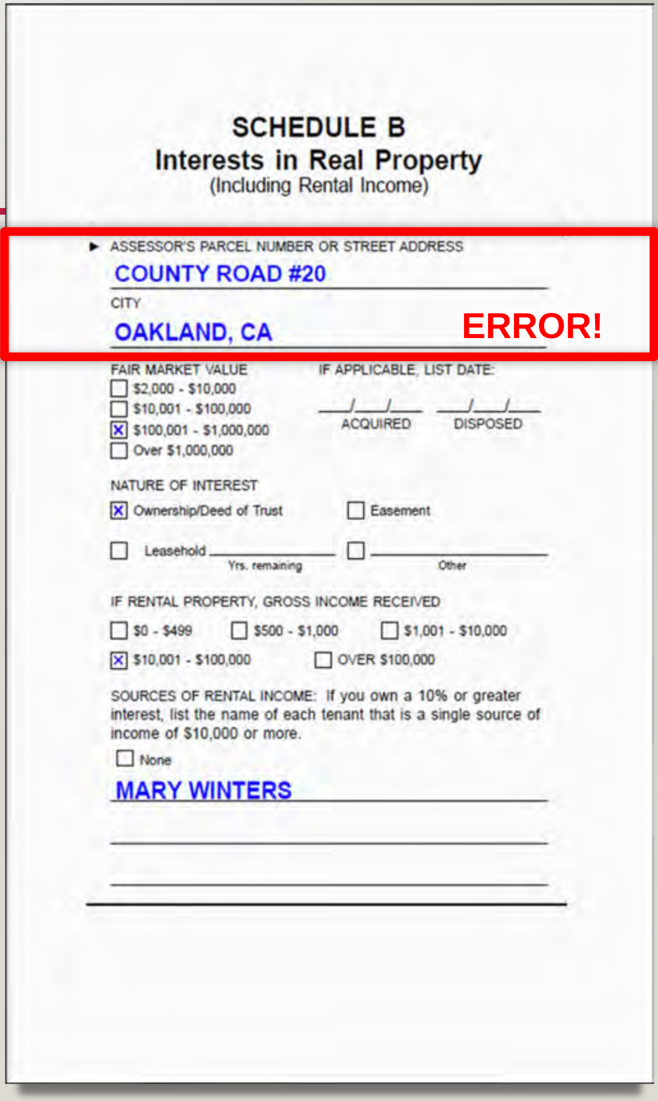
- Rental property and vacant land (filer's personal residence is generally not reportable)

Common Errors:

- Precise location not reported
- Sources of rental income not reported
- Income from sale of real property sold during the reporting period not reported on Schedule C

COMMON ERRORS: SCHEDULE B

- Filers must identify the precise location (complete physical address or Assessor's Parcel Number)



SCHEDULE B
Interests in Real Property
(Including Rental Income)

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS
COUNTY ROAD #20
CITY
OAKLAND, CA
ERROR!

FAIR MARKET VALUE
- [ ] $2,000 - $10,000
- [ ] $10,001 - $100,000
- [x] $100,001 - $1,000,000
- [ ] Over $1,000,000

IF APPLICABLE, LIST DATE:
__/__/__ ACQUIRED
__/__/__ DISPOSED

NATURE OF INTEREST
- [x] Ownership/Deed of Trust
- [ ] Easement
- [ ] Leasehold _____ Yrs. remaining
- [ ] _____ Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED
- [ ] $0 - $499
- [ ] $500 - $1,000
- [ ] $1,001 - $10,000
- [x] $10,001 - $100,000
- [ ] OVER $100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of $10,000 or more.
- [ ] None

MARY WINTERS

SCHEDULE C
INCOME & BUSINESS POSITIONS

Common Reportable Interests:

- 50% of spouse's or registered domestic partner's income
- Proceeds from any sale, e.g., home or car (but not if proceeds went directly into another home loan or if the car was traded in for another car at the dealer)

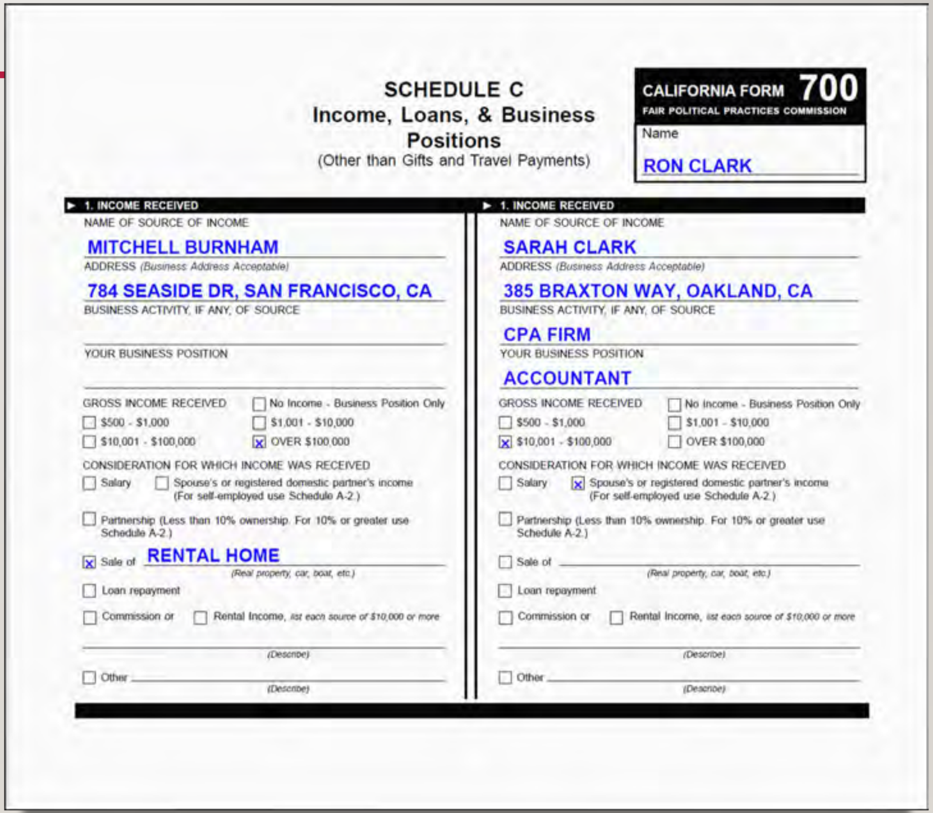
Common Errors:

- Name of spouse's or registered domestic partner's employer not reported
- Filer's, spouse's, or registered domestic partner's business reported on Schedule C, instead of Schedule A-2
- Gross income not reported

COMMON ERRORS: SCHEDULE C

Filers must name the spouse's or partner's employer as the source of income— the spouse should not be listed as the source of income

Note: Loans made by a commercial lending institution in the normal course of business are not reportable.



SCHEDULE C
Income, Loans, & Business Positions
(Other than Gifts and Travel Payments)

CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION
Name
RON CLARK

► 1. INCOME RECEIVED
NAME OF SOURCE OF INCOME
MITCHELL BURNHAM
ADDRESS (Business Address Acceptable)
784 SEASIDE DR, SAN FRANCISCO, CA
BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED
☐ No Income - Business Position Only
☐ $500 - $1,000
☐ $1,001 - $10,000
☐ $10,001 - $100,000
☒ OVER $100,000
CONSIDERATION FOR WHICH INCOME WAS RECEIVED
☐ Salary
☐ Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.)
☐ Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)
☒ Sale of RENTAL HOME (Real property, car, boat, etc.)
☐ Loan repayment
☐ Commission or ☐ Rental Income, list each source of $10,000 or more
(Describe)
☐ Other
(Describe)

► 1. INCOME RECEIVED
NAME OF SOURCE OF INCOME
SARAH CLARK
ADDRESS (Business Address Acceptable)
385 BRAXTON WAY, OAKLAND, CA
BUSINESS ACTIVITY, IF ANY, OF SOURCE
CPA FIRM
YOUR BUSINESS POSITION
ACCOUNTANT
GROSS INCOME RECEIVED
☐ No Income - Business Position Only
☐ $500 - $1,000
☐ $1,001 - $10,000
☒ $10,001 - $100,000
☐ OVER $100,000
CONSIDERATION FOR WHICH INCOME WAS RECEIVED
☐ Salary
☒ Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.)
☐ Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)
☐ Sale of (Real property, car, boat, etc.)
☐ Loan repayment
☐ Commission or ☐ Rental Income, list each source of $10,000 or more
(Describe)
☐ Other
(Describe)

SCHEDULE D
INCOME – GIFTS

Common Reportable Interests:

- Tickets to entertainment events
- Gift cards, discounts, and meals

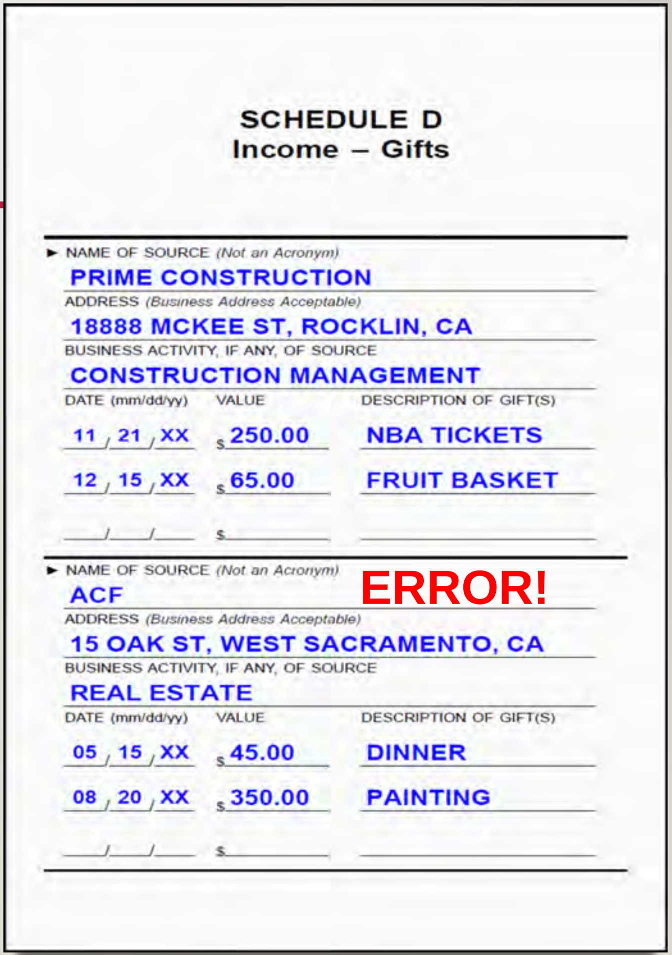
Common Errors:

- Value of gift not reported
- Date gift received not reported
- Description of gift not reported

Please note the gift limit through December 31, 2022 is **$520!**

COMMON ERRORS: SCHEDULE D

Acronyms are not allowed unless it is a common one that any reasonable person understands, e.g., AT&T



SCHEDULE D
Income – Gifts

► NAME OF SOURCE (Not an Acronym)
PRIME CONSTRUCTION
ADDRESS (Business Address Acceptable)
18888 MCKEE ST, ROCKLIN, CA
BUSINESS ACTIVITY, IF ANY, OF SOURCE
CONSTRUCTION MANAGEMENT

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
11 / 21 / XX	$ 250.00	NBA TICKETS
12 / 15 / XX	$ 65.00	FRUIT BASKET
/ /	$	

► NAME OF SOURCE (Not an Acronym)
ACF ERROR!
ADDRESS (Business Address Acceptable)
15 OAK ST, WEST SACRAMENTO, CA
BUSINESS ACTIVITY, IF ANY, OF SOURCE
REAL ESTATE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
05 / 15 / XX	$ 45.00	DINNER
08 / 20 / XX	$ 350.00	PAINTING
/ /	$	

SCHEDULE E
INCOME – GIFTS, TRAVEL PAYMENTS

Common Reportable Interests:

- Third party travel payments (not from the filer's agency)

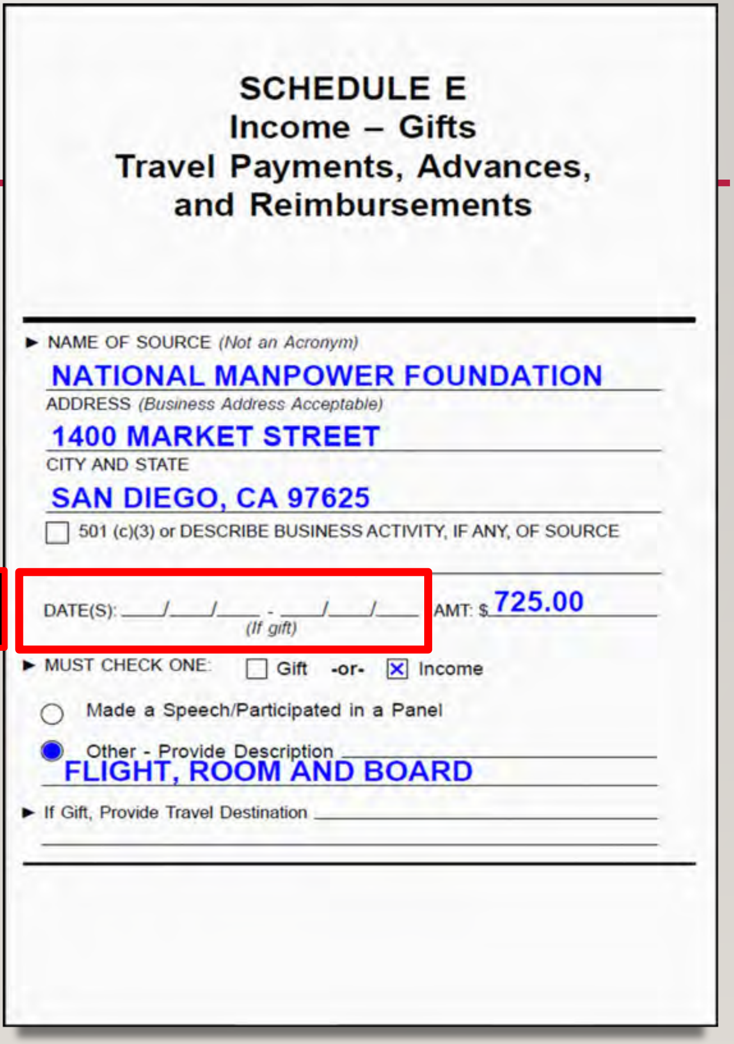
Common Errors:

- Value of payment not reported
- Date of travel not reported
- Description of travel not reported
- Gift or income box not checked

COMMON ERRORS: SCHEDULE E

Be sure Dates are filled in!

Error→



SCHEDULE E
Income – Gifts
Travel Payments, Advances, and Reimbursements

► NAME OF SOURCE *(Not an Acronym)*
NATIONAL MANPOWER FOUNDATION

ADDRESS *(Business Address Acceptable)*
1400 MARKET STREET

CITY AND STATE
SAN DIEGO, CA 97625

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE(S): ___/___/___ - ___/___/___ *(If gift)* AMT: $ 725.00

► MUST CHECK ONE: ☐ Gift -or- ☒ Income

○ Made a Speech/Participated in a Panel

● Other - Provide Description
FLIGHT, ROOM AND BOARD

► If Gift, Provide Travel Destination

AMENDMENTS

- Notify filers who appear to have filed incomplete or incorrect statements
- May be filed at any time
- No fines for filing amendments
- Attach to originally filed statement
- Amendments filed by filers whose statements are forwarded to FPPC must be forwarded to FPPC within five days

FORM 700

Amendment Request Guide

You are not required to conduct an investigation when reviewing statements.

Statement of Economic Interests **Form 700 - Amendment Request** FPPC - (866) ASK-FPPC / advice@fppc.ca.gov	**INSTRUCTIONS**: A check mark indicates an amendment may be required. File your amended statement at:

Name: ______________________ Date signed: ___/___/___

Type of Statement: ☐ Assuming/Initial ___/___/___ ☐ Annual 20___ ☐ Leaving ___/___/___

Amendment Request Form

Cover Page

- O Statement not signed.
- O Original signature required.
- O Part 4, schedule summary indicated Schedule(s) __________ attached but schedules are not attached.
- O Part 4, schedule summary left blank and either no schedules attached or only blank schedules attached.
- O other - see Comments.

Schedule A-1

- O The fair market value of the investment in __________________ not reported.
- O An investment in ______________ (a limited partnership) was reported. Income of $500 or more received from this investment must be reported on Schedule C.
- O Investment(s) held through a brokerage firm or IRA were reported. Investments in which you have a $2,000 or greater interest held through the account must be itemized separately.
- O other - see Comments.

- O You reported property located at ______________. Rental income is reportable if your share of rental income was $500 or more during the reporting period. Also disclose the name of any tenants if your share of rental income from a single tenant was $10,000 or more.
- O other - see Comments.

Schedule C

- O Name of the source of income not reported.
- O Gross income not reported.
- O Name of spouse's or registered domestic partner's source of income (employer) not reported.
- O Your spouse's or registered domestic partner's income was reported. If your spouse or registered domestic partner is self-employed, the investment in the business and the income received from the business should be reported on Schedule A-2.
- O Income from ______________ was reported. If you have an ownership interest worth $2,000 or more, this business entity and the income received from the business should be reported on Schedule A-2.
- O other - see Comments.

FORM 700 PUBLIC ACCESS

- All Form 700s are public documents
- Must be available during regular business hours no later than second business day after receipt
- No conditions on persons seeking access
- No information or identification required
- May not charge more than 10 cents per page for copies (may charge a $5 retrieval fee for statements five or more years old
- Must provide an un-redacted copy if requested

FORM 700 RETENTION

Originals – 7 years

Copies – 4 years*

May retain longer but can still be made available upon request.

After 2 years on file, statements may be put on a space saving device and originals may be discarded.

- **_*Filing officers are not required to keep copies of statements filed through the FPPC's electronic filing system_**

THESE STATEMENTS GO TO FPPC LOCAL

87200 Filers
- Mayors
- Council Members
- Court Commissioners
- Judges
- City Managers

Multi-County Filers
- Check conflict of interest code approved by the FPPC – it will specify in the Incorporation Page where statements are filed.

Courts
- Judges (include pro-tem judges who serve 30 days or more in a calendar year)
- Court Commissioners

Note: Retired judges file directly with FPPC.

IF YOUR AGENCY HAS AN E-FILING SYSTEM…

Retained statements

- Keep filer information **current** in your system so it automatically notifies filers
- Review statements
- Request amendments
- Assess or waive late fines
- Refer non-filers to FPPC
- Provide public access

Forwarded to FPPC

- Keep filer information **current** in your system so it automatically notifies filers
- Your e-filing system must allow electronic data exchange with FPPC's e-filing system
- Update FPPC's e-filing system regularly with any filer information changes
- Provide public access

IF YOUR AGENCY DOES NOT HAVE AN E-FILING SYSTEM…

Retained statements

- Notify filers and provide form.
- Date stamp all statements.
- Review statements.
- Request amendments.
- Assess or waive late fines.
- Refer non-filers to FPPC.
- Maintain a tracking log.
- Provide public access.

Forwarded to FPPC

- Keep filer information **current** in FPPC's system so it automatically notifies filers.
- Provide public access.

WEBSITE NOTIFICATION FOR FPPC E-FILERS

Cities and counties must post a notification that includes all of the following:

- List of elected officers' names and positions.
- Physical addresses for the FPPC and the city or county clerk's office.
- A link to the FPPC's website with a statement that some Form 700s may be available in electronic format.

INTERESTED IN AN ELECTRONIC FILING SYSTEM FOR YOUR AGENCY?

- All agencies have the **option** to adopt an electronic filing system.
- System must meet specific requirements.
- Application and $1,000 fee must be submitted to FPPC for approval.
- More information on FPPC's website (Fppc.ca.gov> Learn > Guidance for Filing Officers).

SAMPLE LOG

NAME	ANNUAL	ASSUMING	LEAVING	DAYS LATE	AMENDMENT
Anderson, William	04/02/XX				
Brown, Sharon	n/a	10/15/XX			
Carson, David	03/26/XX		09/28/XX		
Davies, Gary	04/02/XX				05/25/XX
Ford, Cheryl					
Iverson, Steven	01/28/XX		10/01/XX		
Lawson, John	n/a	02/14/XX			
Moore, Roy					
Nelson, Cheryl	04/11/XX			10	

Non-Filer

Non-Filer

Late-Filer

ASSESSING OR WAIVING LATE FINES

For statements maintained by the agency, fining is optional unless specific written notice is sent. If the agency fines, it should:

- Adopt written guidelines to ensure fines are assessed/waived on an impartial basis
- Assess fine AFTER statement is filed
- Fine $10 per day, up to a maximum of $100
- Do Not assess fines on filers whose statements are forwarded to FPPC

NON-FILER NOTICE GUIDELINES

For statements maintained by your agency:

- Send written notification to annual non-filers within 30 or 120* days after the deadline
- Send a second notification within 30 or 60* days after the date of the first non-filer notification

**Agencies with 50 or fewer filers use the lesser number of days*

ENFORCEMENT REFERRALS

For statements maintained by the agency:

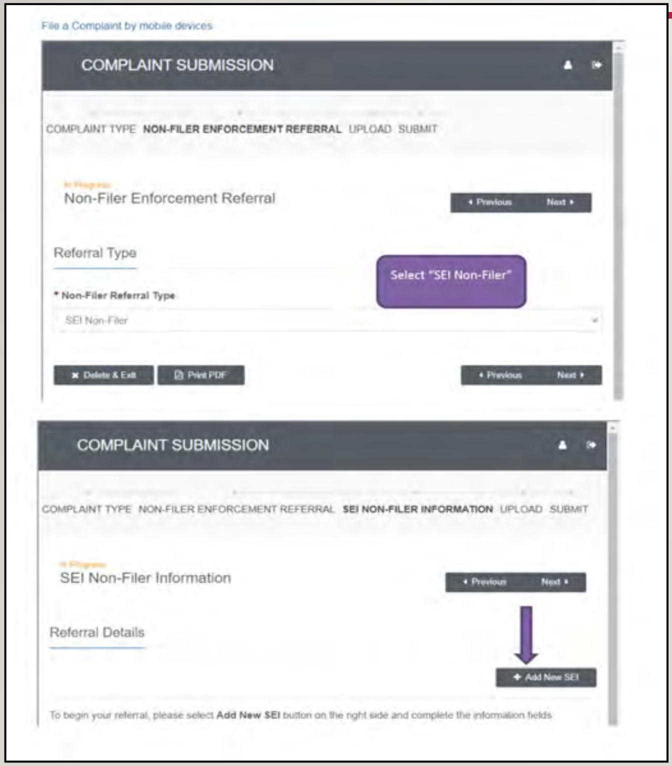
- Non-filers must be referred to FPPC's Enforcement Division
- Refer after sending at least two written notifications
- Make referral within 30 or 45* days after the second notification is sent
- Referrals must be submitted through the Enforcement Electronic Complaint System
- If filer files outstanding statement after referral is submitted, you must provide the FPPC Enforcement Division a copy within 7 days.

Agencies with 50 or fewer filers use the lesser number of days

WHAT TO INCLUDE IN YOUR ENFORCEMENT REFERRAL

- Most recent address of the non-filer (If a LO non-filer referral, include any personal contact information.)
- Leaving Office/Assuming Office date if relevant
- Last filed statement(s)
- Any previous late filings
- Copy of agency conflict of interest code
- Non-filer notifications
- All relevant attachments and information that Enforcement needs to know

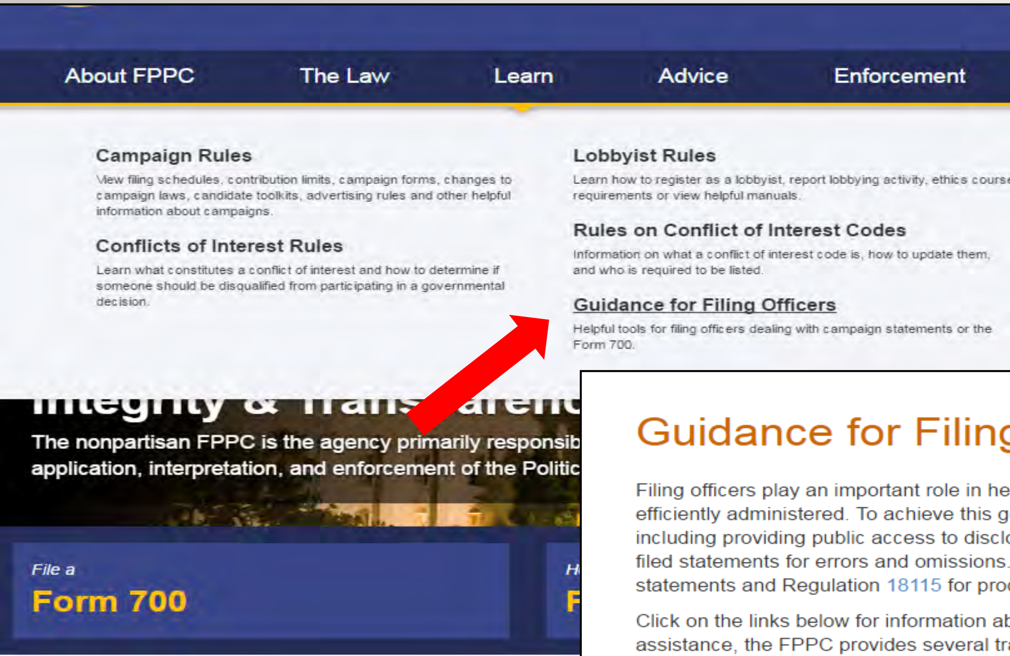
ENFORCEMENT NON-FILER REFERRAL PROGRAM



Include the following information in your referral:

- A copy of the conflict of interest code;
- A copy of their most recently filed SEI;
- Copies of the notifications sent (at least two) to the respondent;
- Up to date contact information, including personal contact information; and
- For the filing officer to confirm/check that the person is still holding the position.

WWW.FPPC.CA.GOV



About FPPC | The Law | Learn | Advice | Enforcement

Campaign Rules
View filing schedules, contribution limits, campaign forms, changes to campaign laws, candidate toolkits, advertising rules and other helpful information about campaigns.

Conflicts of Interest Rules
Learn what constitutes a conflict of interest and how to determine if someone should be disqualified from participating in a governmental decision.

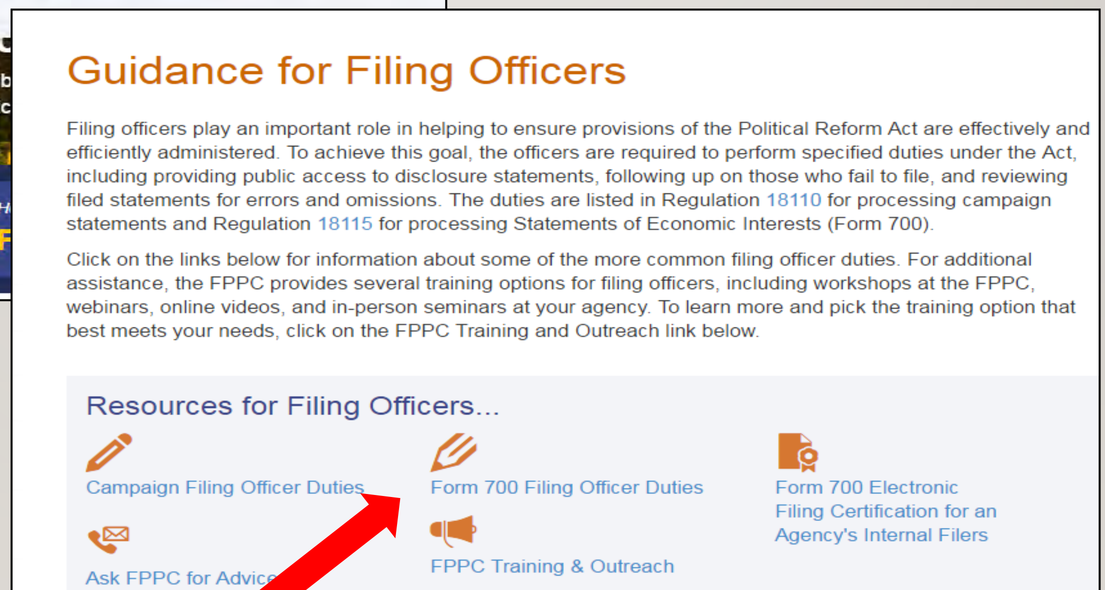
Lobbyist Rules
Learn how to register as a lobbyist, report lobbying activity, ethics course requirements or view helpful manuals.

Rules on Conflict of Interest Codes
Information on what a conflict of interest code is, how to update them, and who is required to be listed.

Guidance for Filing Officers
Helpful tools for filing officers dealing with campaign statements or the Form 700.

The nonpartisan FPPC is the agency primarily responsib
application, interpretation, and enforcement of the Politic

File a
Form 700



Guidance for Filing Officers

Filing officers play an important role in helping to ensure provisions of the Political Reform Act are effectively and efficiently administered. To achieve this goal, the officers are required to perform specified duties under the Act, including providing public access to disclosure statements, following up on those who fail to file, and reviewing filed statements for errors and omissions. The duties are listed in Regulation 18110 for processing campaign statements and Regulation 18115 for processing Statements of Economic Interests (Form 700).

Click on the links below for information about some of the more common filing officer duties. For additional assistance, the FPPC provides several training options for filing officers, including workshops at the FPPC, webinars, online videos, and in-person seminars at your agency. To learn more and pick the training option that best meets your needs, click on the FPPC Training and Outreach link below.

Resources for Filing Officers...

Campaign Filing Officer Duties

Form 700 Filing Officer Duties

Form 700 Electronic Filing Certification for an Agency's Internal Filers

Ask FPPC for Advice

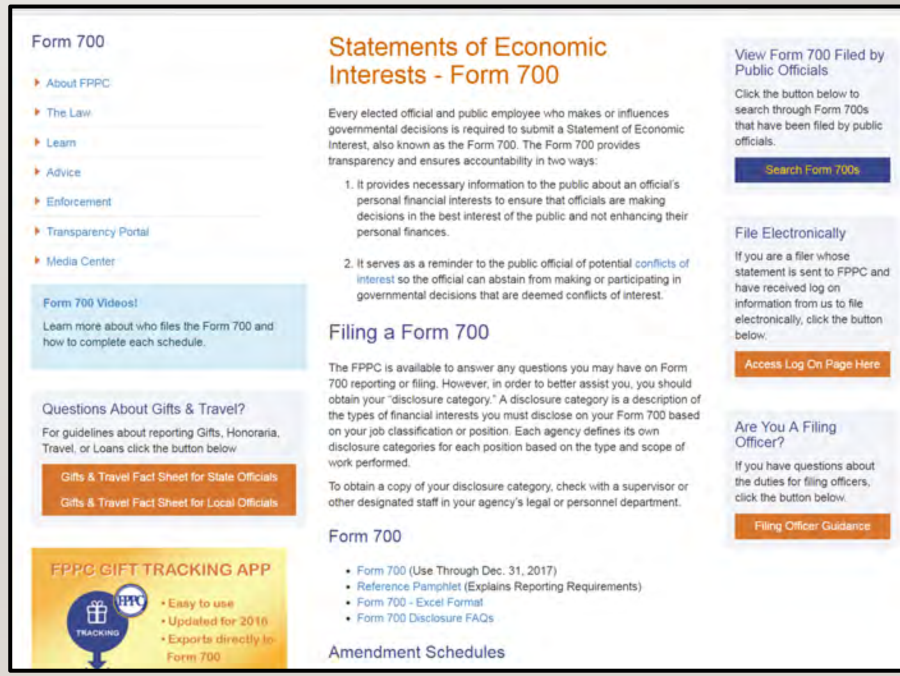
FPPC Training & Outreach

RESOURCES FOR FILERS

FPPC home page >

File a Form 700

- Form 700 Videos!
- Reference Pamphlet
- Form 700 FAQs
- Amendment Schedules
- Gift and Travel Fact Sheet for Local Officials
- Gift Tracking App



FILING OFFICERS' FPPC CONTACT INFORMATION

- FPPC's E-Filing System Questions: form700@fppc.ca.gov
- Cities A-M: Sonia Rangel srangel@fppc.ca.gov
- Cities N-Z: William Cameron wcameron@fppc.ca.gov
- Counties: Cyndi Glaser cglaser@fppc.ca.gov
- Courts: Theresa Poon tpoon@fppc.ca.gov
- Multi-County Agencies: Molly Rengchhup mrengchhup@fppc.ca.gov
- State Agencies: Andrea Carey acarey@fppc.ca.gov

MANAGING YOUR FPPC FORM 700 FILERS

- 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.
- ***For original statements that you forward to the FPPC that aren't e-filed:*** forward assuming, annual, and leaving office original "wet signature" statements to the FPPC no later than five days after the filing deadline.

PROCEDURES FOR AGENCIES USING FPPC'S E-FILING SYSTEM

- Keep filers' information current in the electronic system including assuming and leaving office information.
- If you have a new filer, please add the filer into the system, including the assume date of office, filer's position, address, email and phone number.
- If the filer goes from one 87200 position to another 87200 position within the same entity and with no break in service, this would be considered as a "Transfer."
- If a filer has already left office, please update the leaving office date into the system.
- To e-file candidate statement, please notify your FPPC filing officer to add candidate statements to the candidates' e-filing profile.

PROCEDURES FOR AGENCIES USING THEIR OWN E-FILING SYSTEM

- Keep filers' information current in the electronic system including assuming and leaving office information.
- Effective January 1, 2018, Form 700 statements that are filed electronically and required to be forwarded to the FPPC, your agency's systems are required to allow electronic data exchange with the FPPC electronic system.
- **<u>Filers' information in your system must exactly matches FPPC's system for a successful electronic data exchange.</u>**

DIGITAL SIGNATURE

- Regulation 18104 specifies that an original document can be submitted either (1) in paper format with a handwritten signature, or (2) in electronic format with a secure electronic signature, if permitted by the agency responsible for maintaining the original document.
- Regulation 18757 permits agencies to continue to use (or develop) a certified electronic filing system, but also recognizes that alternative methods of filing an original SEI are available and secure.
- A Form 700 filer would be permitted to file their original Form 700 with a secure electronic signature via the official's agency email address, provided that the official's agency permits the submission with an electronic signature.

THANK YOU FOR ATTENDING!

Contact us with questions!
Email advice: advice@fppc.ca.gov
Phone Advice Line: 866-275-3772

Now onto Conflict of Interest Codes!

CONFLICT OF INTEREST CODE WORKSHOP FOR LOCAL AGENCIES

Presented by Chloe Hackert
and Adam Ramirez

Fair Political Practices Commission

Education & External Affairs Unit

Legal Division

The visual aids used in FPPC workshops are guides which contain only highlights of selected provisions of the law. They do not carry the weight of the law.

OVERVIEW

- What is a conflict of interest code?
- Types of Form 700 filers
- Three components of a conflict of interest code
- How to identify necessary changes to your agency's conflict of interest code

CONFLICT OF INTEREST CODES

Every government agency must adopt a conflict of interest code.

A conflict of interest code is the legal instrument requiring those individuals holding designated positions to disclose their financial interests to help avoid conflicts of interest.

HOW IT WORKS

- Public official/employee holds a position that involves:
  - ❖ Making or participating in making governmental decisions.
- Position is designated in the code:
  - ❖ Disclosure is based on a position’s level of decision making.
- Official/employee files Statements of Economic Interests (Form 700):
  - ❖ Serves as a reminder to official/employee of potential conflicts.
  - ❖ Public document.

TYPES OF FORM 700 FILERS

Code Filers

A designated position in a conflict of interest code is often referred to as a “code filer” because the position files a Form 700 based on its designation in the conflict of interest code.

87200 Filer

Position specifically listed in Section 87200 or meets the criteria in Regulation 18700.3 as a public investment manager is an 87200 filer.

WHO IS LISTED IN GOV. CODE SECTION 87200?

City Officials

- Mayor/Council Members
- Chief Administrative Officer
- City Manager
- City Attorney
- Planning Commissioners
- Treasurer

County Officials

- Board of Supervisors
- Chief Administrative Officer
- County Counsel
- District Attorney
- Planning Commissioners
- County Treasurer

SAMPLE LANGUAGE 87200 FILERS (PUBLIC INVESTMENT MANAGERS)

The following positions are not covered by the code because they must file under Government Code Section 87200 and, therefore, are listed for informational purposes only:

Board Members
Alternate Board Members
Executive Director
Chief Financial Officer

Individuals holding the above-listed positions may contact the Fair Political Practices Commission for assistance or written advice regarding their filing obligations if they believe that their position has been categorized incorrectly. The Fair Political Practices Commission makes the final determination whether a position is covered by Government Code Section 87200.

2022 BIENNIAL NOTICE

- Each local agency must review its conflict of interest code biennially.
- By July 1: Code reviewing body must notify all agencies.
- By October 3: All agencies must submit the notice to the code reviewing body.
- Before completing the notice, review the agency’s organizational chart and current code, including the disclosure categories.

2022 Multi-County Agency Biennial Notice

Name of Agency: Orange Cove Irrigation District

Mailing Address: 633 6th Street, Orange Cove, CA 93646

Contact Person: John Doe Phone No. (559)555-5555

Email: jdoe@ocid.gov Alternate Email:

Counties within Jurisdiction, or for Charter Schools, Counties in which the School is Chartered:
(if more space is needed, include an attachment):

Fresno, Tulare

No. of Employees* 13 No. of Form 700 Filers* 9

**Including board and committee members*

Accurate disclosure is essential to monitor whether officials have conflicts of interest and to help ensure public trust in government. The biennial review examines current programs to ensure that the agency's code includes disclosure by those agency officials who make or participate in making governmental decisions.

Please identify which statement accurately describes your agency's status.

- [x] This agency has reviewed its conflict of interest code. The current code designates all positions which make or participate in making governmental decisions. The designated positions are assigned accurate disclosure categories that relate to the job duties of the respective positions. The code incorporates FPPC regulation 18730 so that all relevant Government Code Sections are referenced.

- [ ] This agency has reviewed its conflict of interest code and has determined that an amendment is necessary. An amendment may include the following:
  - [ ] New positions which involve the making or participating in the making of decisions which may foreseeably have a material impact on a financial interest
  - [ ] Current designated positions need renaming or deletion
  - [ ] Statutorily required provisions of the code need to be addressed
  - [ ] Disclosure categories need revision

CODE REVIEWING BODY

City: City Council

City agencies need to make sure that by July 1, all city agencies have the notice. City agencies need to file the biennial notice with the city council by October 3.

Code Review Process

Compare existing conflict of interest code against current organizational structure.

- Have new positions or divisions been created? Abolished? Duties merged?
- Have duties of positions designated in the code changed to warrant adjusting their disclosure obligations?

THREE COMPONENTS OF A CONFLICT OF INTEREST CODE

THREE COMPONENTS OF A CODE

1. Terms of the code
(Incorporation of Regulation 18730)

2. List of designated positions
(The positions in your agency that are required to file a Form 700)

3. Disclosure categories
(The specific interests to be reported on a Form 700)

1 TERMS OF THE CODE

Incorporation Language

Where to File

CONFLICT OF INTEREST CODE FOR THE

ORANGE COVE IRRIGATION DISTRICT

The political Reform Act (Government Code Section 81000, et seq.) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission had adopted a regulation (2 Cal. Code of Regs. Sec.18730) which contains the terms of a standard conflict of interest code that can be incorporated by reference in an agency's code. After public notice and hearing it may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. This regulation and the attached Appendices designating officials and employees and establishing disclosure categories shall constitute the conflict of interest code of the Orange Cove Irrigation District (District).

Designated employees shall file their statements of economic interests with the District, which_will make the statements available for public inspection and reproduction (Gov. Code Section 81008.) The District will retain statements for all designated employees.

71

2

LIST OF DESIGNATED POSITIONS

Every position in your agency that is involved in making or participating in making governmental decisions must be designated in your agency's code.

WHAT DOES IT MEAN TO "MAKE" A DECISION?

Making a decision means:

- ✓ Voting on a matter
- ✓ Approving the budget
- ✓ Adopting policy
- ✓ Making purchasing decisions
- ✓ Entering into contracts

WHAT DOES IT MEAN TO "PARTICIPATE" IN A DECISION?

"Participate" means:

- ✓ Negotiating the terms of a contract
- ✓ Writing the specifications of a bid
- ✓ Advising or making recommendations to the decision-maker or governing body without significant intervening substantive review

DEVELOPING YOUR LIST OF "DESIGNATED POSITIONS"

- Maintain your broad policy/decision makers in the code.
- Eliminate positions whose duties are clerical, secretarial, ministerial, or manual.

Then

- Review the duty statements of everyone between these two levels. Look closely at how many levels of substantive review these positions have.

DEVELOPING YOUR LIST OF "DESIGNATED POSITIONS"

KEEP Broad policy decisions makers. For example, Directors and executive staff.
REVIEW DUTY STATEMENTS FOR Positions that aren't broad policy decision makers or clerical, secretarial, ministerial, or manual. For example, Information Systems Analyst, Fleet Manager, Purchasing Agent, and Administrative Officer.
ELIMINATE Positions whose duties are clerical, secretarial, ministerial, or manual. For example, secretary and tree trimmer.

DESIGNATION BASED ON DUTIES

Based on the stated duties, which of the following positions should be in the agency's code?

Director of Operations

Prepares and administers the department budget. Works independently in the development of capital improvement projects.

YES

Administrative Assistant

Prepares accounting spreadsheets and meeting minutes, schedules meetings, posts information on website.

PROBABLY NOT

NEW BOARDS AND COMMISSIONS

Other than those which are solely advisory, when a board or commission is formed, the members must file under full disclosure until the positions are included in a conflict of interest code.

For board and commission members, including alternates, Form 700s are due no later than 30 days after assuming office.

Regulation 18700 and 18754
Government Code Section 87302.6

POSITION LIST SAMPLE

Designated Positions	Disclosure Categories
Board Members & Alternates……………………..….....…………..….	1
Chief Executive Officers……………………………..……..……….	1
Principals……………………………………………………..……….	2
Director of Information Technology..	2
Risk Manager……………………………………………………….	3
Transportation Commissioners…………………………………….	3
Purchasing Agent………………………………………………….	4
Consultants/New Positions………………………………………..	*

NEW POSITIONS-FORM 804

- Individuals serving in a new position created on or after January 1, 2010, must file under the broadest disclosure category in your agency’s code.
- Agency may provide more limited disclosure by using Form 804.
- Add newly created positions to the conflict of interest code when it is amended.

Regulation 18734

CONSULTANTS - FORM 805

- Use Form 805 to limit disclosure.
- Unsure of who is a consultant?
  - ➢ Contact your agency attorney.
  - ➢ Contact your code reviewing body.
  - ➢ Utilize FPPC advice services if you still cannot decide.

Regulation 18700.3

SAMPLE CONSULTANT/NEW POSITION LANGUAGE

*Consultants/New Positions shall be included in the list of designated positions and shall disclose pursuant to the broadest disclosure category in the code, subject to the following limitation:

The [head of agency or their designee] may determine in writing that a particular consultant or new position, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements in this section. Such determination shall include a description of the consultant's or new position's duties and, based upon that description, a statement of the extent of disclosure requirements. The [head of agency or their designee's] determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code. (Gov. Code Section 81008.)

DISCLOSURE CATEGORIES

DISCLOSURE CATEGORIES

Disclosure categories describe the types of interests to be disclosed on a Form 700.

Designated positions can only be required to disclose interests that they may affect in the course of performing the position’s duties.

<u>City of Carmel-by-the-Sea v. Young</u>

<u>County of Nevada v. MacMillen</u>

REAL PROPERTY LIMITATIONS

Does the designated position participate in decisions affecting real property?

If the answer is "no," do not require the disclosure of interests in real property.

QUIZ

Which of the following positions should be required to report real property interests?

Claims Manager

Information Technology Director

Planning Director

Appraiser

Personnel Director

OTHER CATEGORIES

1. Does the Agency issue grants?
2. Does the Agency license entities?
3. Does the Agency have enforcement authority?
4. Does the Agency have an auditing function?
5. Does the agency process claims?

GIFT AND HONORARIA BAN

The gift limit and honoraria ban are tied to sources of income required to be disclosed on statements of economic interests.

Please note that effective January 1, 2021, the gift limit is $520 and will be adjusted again on January 1, 2023.

PITFALLS TO AVOID

- Do not give full disclosure to positions with limited decision-making authority.
- Do not cite Form 700 schedules as your "disclosure categories."
- Do not include provisions that go beyond the scope of the Political Reform Act.
- Do not include the gift limit or due dates.

THE NEXT STEP

- You have amended your code to include all positions that should be designated in the code, and,
- You have assigned clear and concise disclosure categories.

Now...

Contact your “code reviewing body” for further instructions.

DUTIES OF CODE REVIEWING BODY

- Review proposed code or amendments to ensure legal compliance (Gov. Code Section 87302)
- May not approve a code that exceeds requirements of the Political Reform Act
- Conflict of interest code is not effective until approved by the code reviewing body

PROVIDING NOTICE

Review and preparation of codes by local government agencies must be carried out under procedures that guarantee to officers, employees, members, and consultants of the agency, and to residents of the jurisdiction, **adequate notice** and a **fair opportunity** to present their views.

RESOURCES FOR LOCAL CITY AGENCIES

- Local Biennial Notice Instructions
- Biennial Notice
- Training and Outreach
  - Online training video
  - Email Advice

Local Government Agencies-Adopting & Amending Conflict of Interest Codes

A local agency's conflict of interest code must reflect the current structure of the organization and properly identify officials and employees who should be filing Statements of Economic Interests (Form 700s). A code tells public officials, governmental employees, and consultants what financial interests they must disclose on their Form 700s. It helps provide transparency in local government as required under the Political Reform Act.

Biennial Review of Conflict of Interest Codes

To ensure conflict of interest codes remain current and accurate, each local agency is required to review its code at least every even-numbered year. The agency should receive a Biennial Notice as a reminder of this obligation from its code reviewing body.

The County Board of Supervisors is the code reviewing body for county agencies and the code reviewing body for city agencies is the City Council.

When determining whether to amend, an agency should carefully review its current conflict of interest code and consider the following:

- Is the current code more than five years old?
- Have there been any substantial changes to the agency's organizational structure since the current code was adopted?
- Have any positions been eliminated or renamed since the current code was adopted?
- Have any new positions been added since the current code was adopted?
- Have there been any substantial changes in duties or responsibilities for any positions since the current code was adopted?
- If an agency answers "yes" to any of the above questions, most likely its conflict of interest code will need to be amended.

The resources below provide guidance to local agencies about amending codes. The information is categorized based on the jurisdiction of the agency.

County Agencies

- Local Biennial Notice Instructions
- Biennial Notice

City Agencies

- Local Biennial Notice Instructions
- Biennial Notice

THANK YOU!

Fair Political Practices Commission

Legal Division

Education & External Affairs Unit &

Email Advice and Conflict of Interest Code Program

Now time for Campaign Filing Officer Duties!

FILING OFFICER DUTIES

CANDIDATES AND COMMITTEES

Presented by:

FPPC Education & External Affairs

Chloe Hackert and Adam Ramirez

September 7, 2022

FAIR POLITICAL PRACTICES COMMISSION

- Proposition 9, known today as the Political Reform Act, regulates conflicts of interest, campaign finance, and lobbying activity.

- The FPPC was created to implement and enforce the Act, and to inform and assist candidates and public officials in complying with these laws.

LET'S LEARN ABOUT:

- Campaign Filing Officer duties
- Committees
- Filing Schedules

CAMPAIGN FILING OFFICER DUTIES

- Supply forms
- Receive and maintain statements
- Review statements
- Notify non-filers
- Provide public access
- Refer to FPPC's Enforcement Division as needed

FPPC Regulation 18110

COMMITTEES CHART

Committee type	Threshold (includes personal funds)	Registration forms	Campaign Reports	24-Hour Contribution Reports	Independent Expenditure Reports	Manuals
Candidate	Less than $2000	501	470	NA	496 and 462*	1 or 2
Candidate (recipient)	$2000 or more	501 and 410	460	497	496 and 462*	1 or 2
Ballot Measure (recipient)	$2000	410	460 or 450 or 425	497	496 and 462*	3
General Purpose (recipient)	$2000	410	460 or 450 or 425	497	496 and 462*	4
Primarily Formed (recipient)	$2000	410	460 or 450 or 425	497	496 and 462*	1, 2, or 3
Major Donor (non-recipient)	$10,000	NA	461	497	496 and 462*	5
Independent Expenditure (non-recipient)	$1000	NA	461	497	496 and 462*	6

*This form is required within 10 days after an independent expenditure that totals, in the aggregate, $1,000 or more in a calendar year to support or oppose a candidate or measure. A candidate or measure is reported only once for each election, even if the IEs total more than $1000.

FILING SCHEDULES

Candidates and committee should be referred to filing schedules if they have questions about:

- Which forms to submit
- Filing Periods
- Deadlines
- Resources/Additional Information*

*While filing schedules list additional information, the filing schedule may not have all information. Please contact the FPPC for questions about filing schedules.

FILING SCHEDULES

Filing Schedule for
Candidates and Controlled Committees for Local Office
Who Will be Voted Upon at the November 8, 2022 Election

Deadline	*Period*	*Form*	*Notes*
Aug 1, 2022 *Semi-Annual*	* – 6/30/22	460	• All committees must file this statement.
Within 24 Hours *Contribution Reports*	8/10/22 – 11/8/22	497	• File if a contribution of $1,000 or more in the aggregate is received from a single source. • File if a contribution of $1,000 or more in the aggregate is made to or in connection with *another* candidate or measure being voted upon November 8, 2022. • The recipient of a non-monetary contribution of $1,000 or more in the aggregate must file a Form 497 within 48 hours from the time the contribution is received. • File by personal delivery, e-mail, guaranteed overnight service, or fax. The committee may also file online, if available.
Sep 29, 2022 *1st Pre-Election*	7/1/22 – 9/24/22	460 or 470	• Each candidate listed on the ballot must file Form 460 or Form 470 (see below).
Oct 27, 2022 *2nd Pre-Election*	9/25/22 – 10/22/22	460	• All committees must file this statement. • File by personal delivery or guaranteed overnight service. The committee may also file online, if available.
Jan 31, 2023 *Semi-Annual*	10/23/22 – 12/31/22	460	• All committees must file Form 460 unless the committee filed termination Forms 410 and 460 before December 31, 2022.

FILING SCHEDULE REQUESTS

- Filing schedules for local elections
- Provide the FPPC lead time to create the requested filing schedule
- Send request to advice@fppc.ca.gov

LET'S LEARN ABOUT:

What to look for when reviewing/receiving Candidate/Committee Forms

RECEIVING AND REVIEWING FORMS

What are two things you know?

What are two things you DON'T know?

FORM 700 – CANDIDATE STATEMENTS

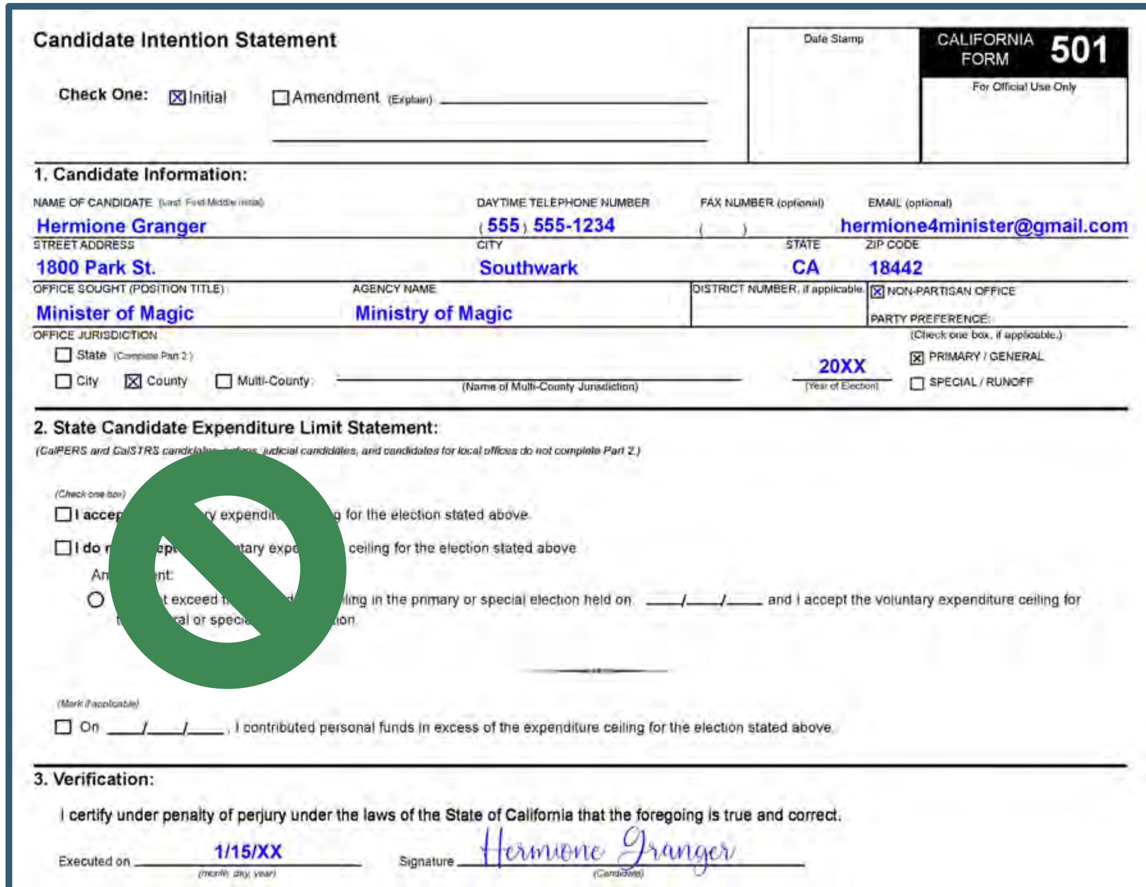
- Deadline: declaration of candidacy

  Exception: Not required if incumbents file assuming or annual statement within 60 days before filing the declaration of candidacy

- Accept candidate statements for retention or forwarding
- Forward original candidate statements to FPPC for 87200 filers, including:
  - Statewide Officers – including BOE
  - Senate and Assembly
  - Judges
  - Board of Supervisors
  - District Attorneys
  - Mayors and City Council Members

FORM 501: CANDIDATE INTENTION STATEMENT

- Before spending or receiving funds
- EVERY election
- Local Filing Officer



Candidate Intention Statement

Date Stamp

CALIFORNIA FORM 501

For Official Use Only

Check One: ☒ Initial ☐ Amendment (Explain)

1. Candidate Information:

NAME OF CANDIDATE (Last, First, Middle Initial): Hermione Granger
DAYTIME TELEPHONE NUMBER: (555) 555-1234
FAX NUMBER (optional): ( )
EMAIL (optional): hermione4minister@gmail.com

STREET ADDRESS: 1800 Park St.
CITY: Southwark
STATE: CA
ZIP CODE: 18442

OFFICE SOUGHT (POSITION TITLE): Minister of Magic
AGENCY NAME: Ministry of Magic
DISTRICT NUMBER, if applicable
☒ NON-PARTISAN OFFICE
PARTY PREFERENCE:

OFFICE JURISDICTION
☐ State (Complete Part 2)
☐ City ☒ County ☐ Multi-County (Name of Multi-County Jurisdiction)
20XX (Year of Election)
(Check one box, if applicable.)
☒ PRIMARY / GENERAL
☐ SPECIAL / RUNOFF

2. State Candidate Expenditure Limit Statement:

(CalPERS and CalSTRS candidates, judicial candidates, and candidates for local offices do not complete Part 2.)

(Check one box)
☐ I accep... y expendit... g for the election stated above.
☐ I do n... ep... tary expe... ceiling for the election stated above.
An... nt:
○ ...t exceed t... ...ling in the primary or special election held on __/__/__ and I accept the voluntary expenditure ceiling for t... ...al or speci... ...ion.

(Mark if applicable)
☐ On __/__/__, I contributed personal funds in excess of the expenditure ceiling for the election stated above.

3. Verification:

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on 1/15/XX (month, day, year)
Signature Hermione Granger (Candidate)

FORM 410 STATEMENT OF ORGANIZATION

Local committees should provide the local filing officer a copy of the Form 410.

The original Form 410 should be filed with the Secretary of State's Office ("SOS"). Once the Form 410 is accepted, SOS will issue a Committee ID number.

In order to terminate the committee, the committee must file an original Form 410 marked for termination with the SOS. A copy will be filed locally.

FORM 470- RECORDKEEPING SHORT FORM

Use if filer…

- Does not have a controlled committee, and
- Does not anticipate receiving contributions of $2000 or more during the calendar year, and
- Does not anticipate spending $2000 or more during the calendar year.

Officeholder and Candidate Campaign Statement - Short Form

Date of election if applicable: (Month, Day, Year) 11/5/20XX

☐ Amendment (Explain Below)

Date Stamp

CALIFORNIA FORM 470

For Official Use Only

1. Statement Covers Calendar Year 20 XX .

2. Officeholder or Candidate Information

NAME OF OFFICEHOLDER OR CANDIDATE: Gilderoy Lockhart

STREET ADDRESS: 890 Highbridge Rd.

CITY: Barking STATE: CA ZIP CODE: 11732

AREA CODE/DAYTIME PHONE NUMBER: 555-555-1200

OPTIONAL: FAX / E-MAIL ADDRESS

3. Office Sought or Held

OFFICE SOUGHT OR HELD: Owelt Trainer Academy Board

JURISDICTION (LOCATION): Kempston, Bedfordshire

DISTRICT NUMBER (IF APPLICABLE)

4. Committee Information

List all committees of which you have knowledge that are primarily formed to receive contributions or to make expenditures on behalf of your candidacy.

COMMITTEE NAME AND I.D. NUMBER	COMMITTEE ADDRESS	NAME OF TREASURER

5. Verification

I declare under penalty of perjury that to the best of my knowledge I anticipate that I will receive less than $2,000 and that I will spend less than $2,000 during the calendar year and that I have used all reasonable diligence in preparing this statement. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on 6/5/20XX (DATE) By Gilderoy Lockhart (SIGNATURE OF OFFICEHOLDER OR CANDIDATE)

FORM 470 SUPPLEMENT

- Candidate exceeded $2000 threshold *after* Form 470 was filed
- Filed within 48 hours of exceeding the threshold
- Delivered by overnight delivery, personal delivery, e-mail, or fax
- Delivered to ALL of the following:
  - Local Filing Officer
  - Opposing Candidates
  - Secretary of State

FORMS 496 & 497
24 HOUR/10 DAY REPORTS

- $1,000 or more from a single source within the 90 days before and on the date of the election
- Form 497 – Contribution
  - Exception: due date falls on weekend (not the weekend before the election) or holiday
- Form 496 – Independent Expenditure
  - No weekend or holiday exception
- Delivered by e-mail, personal delivery, overnight service, fax

FORM 460 – CAMPAIGN STATEMENT

- Record keeping form for active, qualified and open committees
- Used to report money-in and money-out of the committee
- Used in tandem with filing schedules
- Generally, state committees file with the Secretary of State
- Generally, local committees file with the filing officer of the local jurisdiction

AS A FO, WHAT DO I NEED TO KNOW ABOUT CAMPAIGN STATEMENTS?

- Public documents
- Review <u>all</u> statements
- 460 Amendment Request Form
- Postmark is the date filed
- $10/day late fee
- Review, not verify
- AB 571 (local campaign contribution limits)

ONE OF THE FILING OFFICER'S DUTIES IS TO REVIEW THE CAMPAIGN STATEMENT FORM 460

LET'S REVIEW ONE!

COMMON ERRORS ON THE FORM 460 COVER PAGE

- Date and signature of Candidate and Treasurer
- Indicating the type of statement being filed
- Entering the correct reporting period

Form 460 – Cover Page

Recipient Committee Campaign Statement Cover Page

SEE INSTRUCTIONS ON REVERSE

Statement covers period
from 1/1/20
through 6/1/20

Date of election if applicable:
(Month, Day, Year)

Date Stamp

COVER PAGE
CALIFORNIA FORM **460**

Page 1 of 9

For Official Use Only

1. Type of Recipient Committee: All Committees – Complete Parts 1, 2, 3, and 4.

- [x] Officeholder, Candidate Controlled Committee
  - ○ State Candidate Election Committee
  - ○ Recall
  (Also Complete Part 5)
- [ ] General Purpose Committee
  - ○ Sponsored
  - ○ Small Contributor Committee
  - ○ Political Party/Central Committee
- [ ] Primarily Formed Ballot Measure Committee
  - ○ Controlled
  - ○ Sponsored
  (Also Complete Part 6)
- [ ] Primarily Formed Candidate/ Officeholder Committee
  (Also Complete Part 7)

2. Type of Statement:

- [x] Preelection Statement
- [x] Semi-annual Statement
- [ ] Termination Statement
  (Also file a Form 410 Termination)
- [ ] Amendment (Explain below)
- [ ] Quarterly Statement
- [ ] Special Odd-Year Report

3. Committee Information

I.D. NUMBER
123456

COMMITTEE NAME (OR CANDIDATE'S NAME IF NO COMMITTEE)
Hermione Granger for Minister of Magic 20XX

STREET ADDRESS (NO P.O. BOX)
1800 Park St.

CITY	STATE	ZIP CODE	AREA CODE/PHONE
Southwark	CA	18442	555-555-1234

MAILING ADDRESS (IF DIFFERENT) NO. AND STREET OR P.O. BOX

CITY	STATE	ZIP CODE	AREA CODE/PHONE

OPTIONAL: FAX / E-MAIL ADDRESS
hermione4minister@gmail.com

Treasurer(s)

NAME OF TREASURER
Penelope Clearwater

MAILING ADDRESS
2400 Charing Cross Rd.

CITY	STATE	ZIP CODE	AREA CODE/PHONE
Covent Garden	CA	20634	555-555-1233

NAME OF ASSISTANT TREASURER, IF ANY

MAILING ADDRESS

CITY	STATE	ZIP CODE	AREA CODE/PHONE

OPTIONAL: FAX / E-MAIL ADDRESS

4. Verification

I have used all reasonable diligence in preparing and reviewing this statement and to the best of my knowledge the information contained herein and in the attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on 7/15/XX (Date) By *Penelope Clearwater* (Signature of Treasurer or Assistant Treasurer)

Executed on ______ (Date) By ______ (Signature of Controlling Officeholder, Candidate, State Measure Proponent or Responsible Officer of Sponsor)

Executed on ______ (Date) By ______ (Signature of Controlling Officeholder, Candidate, State Measure Proponent)

Executed on ______ (Date) By ______ (Signature of Controlling Officeholder, Candidate, State Measure Proponent)

COMMON ERRORS ON THE SUMMARY PAGE

- Failure to carry totals from summary sections
- Failure to report zeros in Column A
- Failure to complete Column B

Form 460 – Summary Page

Campaign Disclosure Statement Summary Page

Amounts may be rounded to whole dollars.

SUMMARY PAGE

Statement covers period
from 1/1/20
through 6/1/20

CALIFORNIA FORM **460**

Page 2 of 9

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER
HERMIONE GRANGER FOR MINISTER OF MAGIC 20XX

I.D. NUMBER
123456

Contributions Received

		Column A TOTAL THIS PERIOD (FROM ATTACHED SCHEDULES)	Column B CALENDAR YEAR TOTAL TO DATE
1. Monetary Contributions	Schedule A, Line 3	$ 1,800	$ 1,880
2. Loans Received	Schedule B, Line 3	7,500	7,500
3. SUBTOTAL CASH CONTRIBUTIONS	Add Lines 1 + 2	$ 6,880	$ 9,380
4. Nonmonetary Contributions	Schedule C, Line 3	2,250	2,250
5. TOTAL CONTRIBUTIONS RECEIVED	Add Lines 3 + 4	$ 9,130	$ 11,630

Expenditures Made

		Column A	Column B
6. Payments Made	Schedule E, Line 4	$ 5,575	$ 5,575
7. Loans Made	Schedule H, Line 3	0	0
8. SUBTOTAL CASH PAYMENTS	Add Lines 6 + 7	$ 5,575	$ 5,575
9. Accrued Expenses (Unpaid Bills)	Schedule F, Line 3	0	0
10. Nonmonetary Adjustment	Schedule C, Line 3	2,250	2,250
11. TOTAL EXPENDITURES MADE	Add Lines 8 + 9 + 10	$ 7,825	$ 7,825

Current Cash Statement

12. Beginning Cash Balance	Previous Summary Page, Line 16	$ 5,420
13. Cash Receipts	Column A, Line 3 above	6,880
14. Miscellaneous Increases to Cash	Schedule I, Line 4	125
15. Cash Payments	Column A, Line 8 above	2,925
16. **ENDING CASH BALANCE**	Add Lines 12 + 13 + 14, then subtract Line 15	$ 9,500

If this is a termination statement, Line 16 must be zero.

17. LOAN GUARANTEES RECEIVED	Schedule B, Part 2	$ 0

Cash Equivalents and Outstanding Debts

18. Cash Equivalents	See instructions on reverse	$ 0
19. Outstanding Debts	Add Line 2 + Line 9 in Column B above	$ 7,500

To calculate Column B, add amounts in Column A to the corresponding amounts from Column B of your last report. Some amounts in Column A may be negative figures that should be subtracted from previous period amounts. If this is the first report being filed for this calendar year, only carry over the amounts from Lines 2, 7, and 9 (if any).

Calendar Year Summary for Candidates Running in Both the State Primary and General Elections

	1/1 through 6/30	7/1 to Date
20. Contributions Received	$	$
21. Expenditures Made	$	$

Expenditure Limit Summary for State Candidates

22. Cumulative Expenditures Made*
(If Subject to Voluntary Expenditure Limit)

Date of Election (mm/dd/yy)	Total to Date
/ /	$
/ /	$

*Amounts in this section may be different from amounts reported in Column B.

Clear Summ Pg Print Form

FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov

HERE ARE SOME 460 REVIEW TIPS FOR THE SCHEDULES!

COMMON ERRORS IN REPORTING CONTRIBUTIONS

- "Date Received" falls outside of statement period
- Itemized contributions do not include complete addresses
- Itemized contributions do not include occupation/employer information

DONOR INFORMATION

Individual contributors of $100 or more:

- Name and street address
- The occupation and employer

Complete	Incomplete
Manager, Harvey's Hardware Store	Manager
Self-Employed, No Separate Business Name	Owner
Attorney, Fong & Associates	Neighbor
Consultant, Strategic Politics	Friend
Homemaker or Student	Consultant, SPS Inc.
	Business Person
	Entrepreneur
	Philanthropist

COMMON ERRORS ON SCHEDULE A

- Contributions are incorrectly listed
- Donor information is incorrect
- Subtotal is missing

Form 460 – Schedule A

Schedule A
Monetary Contributions Received

Amounts may be rounded to whole dollars.

SCHEDULE A

Statement covers period
from 1/1/20
through 6/1/20

CALIFORNIA FORM **460**

Page 3 of 9

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER
HERMIONE GRANGER FOR MINISTER OF MAGIC 2020

I.D. NUMBER
123456

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	AMOUNT RECEIVED THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
4/13/20	Colin Creevey 800 Monument Rd. Paddington, CA 95169	☐ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC	Physician	700		
4/21/20	Weasley's Wizard Wheezes 93 Diagon Alley Charing Cross, CA 20754	☐ IND ☐ COM ☑ OTH ☐ PTY ☐ SCC		500		
5/23/20	Society for the Promotion of Elfish Welfare 70 Whitehall Rd. Westminster, CA 12382	☐ IND ☑ COM ☐ OTH ☐ PTY ☐ SCC	ID #	353		
		☐ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC				
		☐ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC				
			SUBTOTAL $			

Schedule A Summary

1. Amount received this period – itemized monetary contributions. (Include all Schedule A subtotals.) .... $ 1553
2. Amount received this period – unitemized monetary contributions of less than $100 .... $ 247
3. Total monetary contributions received this period. (Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Line 1.) .... TOTAL $ 1800

*Contributor Codes
IND – Individual
COM – Recipient Committee (other than PTY or SCC)
OTH – Other (e.g., business entity)
PTY – Political Party
SCC – Small Contributor Committee

COMMON ERRORS ON SCHEDULE B

- Not checking a contributor code
- Not listing an occupation or employer
- Forgetting to place a 0 or N/A in a field

Form 460 – Schedule B

SCHEDULE B - PART 1

Schedule B – Part 1
Loans Received

Amounts may be rounded to whole dollars.

SEE INSTRUCTIONS ON REVERSE

Statement covers period
from 1/1/20
through 6/1/20

CALIFORNIA FORM 460

Page 4 of 9

NAME OF FILER
HERMIONE GRANGER FOR MINISTER OF MAGIC 2020

I.D. NUMBER
123456

FULL NAME, STREET ADDRESS AND ZIP CODE OF LENDER (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	(a) OUTSTANDING BALANCE BEGINNING THIS PERIOD	(b) AMOUNT RECEIVED THIS PERIOD	(c) AMOUNT PAID OR FORGIVEN THIS PERIOD*	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD	(e) INTEREST PAID THIS PERIOD	(f) ORIGINAL AMOUNT OF LOAN	(g) CUMULATIVE CONTRIBUTIONS TO DATE
Gringott's Bank 104 Diagon Alley Mayfair, CA 20754 † ☐ IND ☐ COM ☑ OTH ☐ PTY ☐ SCC		$ 0	$ 7,500	☐ PAID $ 0 ☐ FORGIVEN $ 0	$ 5,000 1/3/20 DATE DUE	N/A % RATE $ 0	$ 5,000 1/3/20 DATE INCURRED	CALENDAR YEAR $ N/A PER ELECTION** $ N/A
Hermione Granger 1800 Park St. Southwark, CA 18442 † ☐ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC	Headmaster, Hogwarts School of Witchcraft & Wizardry	$ 2,500	$ 0	☐ PAID $ 0 ☐ FORGIVEN $ 0	$ 2,500 N/A DATE DUE	N/A % RATE $ 0	$ 2,500 2/1/20 DATE INCURRED	CALENDAR YEAR $ 2,500 PER ELECTION** $ N/A
† ☐ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC		$	$	☐ PAID $ ☐ FORGIVEN $	$ DATE DUE	% RATE $	$ DATE INCURRED	CALENDAR YEAR $ PER ELECTION** $
		SUBTOTALS $	7,500	$ 0	$ 7,500	$ 0 (Enter (e) on Schedule E, Line 3)		

Schedule B Summary

1. Loans received this period ....$ 7,500
   (Total Column (b) plus unitemized loans of less than $100.)
2. Loans paid or forgiven this period ....$ 0
   (Total Column (c) plus loans under $100 paid or forgiven.)
   (Include loans paid by a third party that are also itemized on Schedule A.)
3. Net change this period. (**Subtract** Line 2 from Line 1.) ....NET $ 7,500
   Enter the net here and on the Summary Page, Column A, Line 2. (May be a negative number)

†Contributor Codes
IND – Individual
COM – Recipient Committee (other than PTY or SCC)
OTH – Other (e.g., business entity)
PTY – Political Party
SCC – Small Contributor Committee

COMMON ERRORS ON SCHEDULE C

- Forgetting the address of a contributor
- Not listing a contributor code
- Missing subtotal

Form 460 – Schedule C

Schedule C
Nonmonetary Contributions Received

Amounts may be rounded to whole dollars.

SCHEDULE C

Statement covers period
from 1/1/20
through 6/1/20

CALIFORNIA FORM **460**

Page 5 of 9

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER: HERMIONE GRANGER FOR MINISTER OF MAGIC 2020

I.D. NUMBER: 123456

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	DESCRIPTION OF GOODS OR SERVICES	AMOUNT/ FAIR MARKET VALUE	CUMULATIVE TO DATE CALENDAR YEAR (JAN 1 - DEC 31)	PER ELECTION TO DATE (IF REQUIRED)
3/22/20	Ernie Macmillan 33 King Street Covent Garden, CA 28643	☑ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC	Owner, Honeydukes Sweetshop	Food for fundraiser	500	500	
5/12/20	Wizards for Arithmancy Duke Street Add # Mayfair, CA 15764	☐ IND ☐ COM ☑ OTH ☐ PTY ☐ SCC		Accounting services	250	250	
7/12/20	Luna Lovegood 37 Hoxton Square Shoreditch, CA 16920	☐ IND ☐ COM ☑ OTH ☐ PTY ☐ SCC	Editor in chief The Quibbler	Flyers	1,200	1,200	
		☐ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC					

Attach additional information on appropriately labeled continuation sheets. SUBTOTAL $ 1,850

Schedule C Summary

1. Amount received this period – itemized nonmonetary contributions. (Include all Schedule C subtotals.) .... $ 1,850
2. Amount received this period – unitemized nonmonetary contributions of less than $100 .... $ 300
3. Total nonmonetary contributions received this period. (Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Lines 4 and 10.) .... TOTAL $ 2,250

*Contributor Codes
IND – Individual
COM – Recipient Committee (other than PTY or SCC)
OTH – Other (e.g., business entity)
PTY – Political Party
SCC – Small Contributor Committee

Clear Sch. C | Print Form

FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov

COMMON ERRORS ON SCHEDULES D AND E

- Failure to report code or description
- Completing whether they support or oppose a candidate
- Failure to report independent expenditures and contributions

Form 460 – Schedule D

Schedule D
Summary of Expenditures Supporting/Opposing Other Candidates, Measures and Committees

SEE INSTRUCTIONS ON REVERSE

Amounts may be rounded to whole dollars.

Statement covers period
from 1/1/20
through 6/1/20

SCHEDULE D
CALIFORNIA FORM 460

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NAME OF FILER: HERMIONE GRANGER FOR MINISTER OF MAGIC 2020

I.D. NUMBER: 123456

DATE	NAME OF CANDIDATE, OFFICE, AND DISTRICT, OR MEASURE NUMBER OR LETTER AND JURISDICTION, OR COMMITTEE	TYPE OF PAYMENT	DESCRIPTION (IF REQUIRED)	AMOUNT THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
1/31/20	Gilderoy Lockhart for Owlet Trainer Academy Board 20XX 890 Highbridge Rd. Barking, CA 11732 ☑ Support ☐ Oppose	☑ Monetary Contribution ☐ Nonmonetary Contribution ☐ Independent Expenditure		275	275	
	☐ Support ☐ Oppose	☐ Monetary Contribution ☐ Nonmonetary Contribution ☐ Independent Expenditure				
	☐ Support ☐ Oppose	☐ Monetary Contribution ☐ Nonmonetary Contribution ☐ Independent Expenditure				
			SUBTOTAL $	275		

Schedule D Summary

1. Itemized contributions and independent expenditures made this period. (Include all Schedule D subtotals.) .... $ 275
2. Unitemized contributions and independent expenditures made this period of under $100 .... $ 0
3. Total contributions and independent expenditures made this period. (Add Lines 1 and 2. Do not enter on the Summary Page.) .... TOTAL .. $ 275

Form 460 – Schedule E

SCHEDULE E

Schedule E
Payments Made

Amounts may be rounded to whole dollars.

Statement covers period
from 1/1/20
through 6/1/20

CALIFORNIA FORM **460**

Page 7 of 9

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER
HERMIONE GRANGER FOR MINISTER OF MAGIC 2020

I.D. NUMBER
123456

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

CMP	campaign paraphernalia/misc.	MBR	member communications	RAD	radio airtime and production costs
CNS	campaign consultants	MTG	meetings and appearances	RFD	returned contributions
CTB	contribution (explain nonmonetary)*	OFC	office expenses	SAL	campaign workers' salaries
CVC	civic donations	PET	petition circulating	TEL	t.v. or cable airtime and production costs
FIL	candidate filing/ballot fees	PHO	phone banks	TRC	candidate travel, lodging, and meals
FND	fundraising events	POL	polling and survey research	TRS	staff/spouse travel, lodging, and meals
IND	independent expenditure supporting/opposing others (explain)*	POS	postage, delivery and messenger services	TSF	transfer between committees of the same candidate/sponsor
LEG	legal defense	PRO	professional services (legal, accounting)	VOT	voter registration
LIT	campaign literature and mailings	PRT	print ads	WEB	information technology costs (internet, e-mail)

NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE	OR DESCRIPTION OF PAYMENT	AMOUNT PAID
Owl Express Communications 1111 Old Church St. Chelsea, 15736 STATE	OFC	Internet, phone	1300
Gilderoy Lockhart for Owlet Trainer Academy Board 20XX 890 Highbridge Rd. Barking, CA 11732			275

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

SUBTOTAL $ 1575

Schedule E Summary

1. Itemized payments made this period. (Include all Schedule E subtotals.) $ 4,225
2. Unitemized payments made this period of under $100. $ 1,350
3. Total interest paid this period on loans. (Enter amount from Schedule B, Part 1, Column (e).) $ 0
4. Total payments made this period. (Add Lines 1, 2, and 3. Enter here and on the Summary Page, Column A, Line 6.) TOTAL $ 5,575

Form 460 – Schedule E (cont.)

Schedule E (Continuation Sheet) Payments Made

SEE INSTRUCTIONS ON REVERSE

Amounts may be rounded to whole dollars.

SCHEDULE E (CONT.)

Statement covers period
from 1/1/20
through 6/1/20

CALIFORNIA FORM 460

Page 8 of 9

NAME OF FILER: HERMIONE GRANGER FOR MINISTER OF MAGIC 2020

I.D. NUMBER: 123456

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

- CMP campaign paraphernalia/misc.
- CNS campaign consultants
- CTB contribution (explain nonmonetary)*
- CVC civic donations
- FIL candidate filing/ballot fees
- FND fundraising events
- IND independent expenditure supporting/opposing others (explain)*
- LEG legal defense
- LIT campaign literature and mailings
- MBR member communications
- MTG meetings and appearances
- OFC office expenses
- PET petition circulating
- PHO phone banks
- POL polling and survey research
- POS postage, delivery and messenger services
- PRO professional services (legal, accounting)
- PRT print ads
- RAD radio airtime and production costs
- RFD returned contributions
- SAL campaign workers' salaries
- TEL t.v. or cable airtime and production costs
- TRC candidate travel, lodging, and meals
- TRS staff/spouse travel, lodging, and meals
- TSF transfer between committees of the same candidate/sponsor
- VOT voter registration
- WEB information technology costs (internet, e-mail)

NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE	OR DESCRIPTION OF PAYMENT	AMOUNT PAID
Cho Chang Consulting 11 Newburgh St. Soho, CA 17762	CNS		1,400
VENDORS PAID $500 OR MORE: Daily Prophet, 29 Savoy Pl, London, CA 26520 $750 Snape Voter Systems, 7 Rye Rd., Peckham, CA 15499 $525		LIT VOT	
Hermione Granger 1800 Park St. Southwark, CA 18442			500
Gringott's Bank Diagon Alley Mayfair, CA 20754 Add #		Credit card payment	750

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

SUBTOTAL $ 2,650

INFORMATION TO HELP WITH SCHEDULE I

- Schedule I is used for anything that is not a contribution.
- Use Schedule I to report transactions that increase the cash position.
- Examples could be a refund, interest received on an account, or proceeds from a sale above the fair market value.

Form 460 – Schedule I

Schedule I
Miscellaneous Increases to Cash

Amounts may be rounded to whole dollars.

Statement covers period
from 1/1/XX
through 6/30/XX

SCHEDULE I
CALIFORNIA FORM 460

Page 9 of 9

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER
HERMIONE GRANGER FOR MINISTER OF MAGIC 20XX

I.D. NUMBER
123456

DATE RECEIVED	FULL NAME AND ADDRESS OF SOURCE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	DESCRIPTION OF RECEIPT	AMOUNT OF INCREASE TO CASH
5/30/XX	Owl Express Communications 1111 Old Church St. Chelsea, CA 15736	Refund of deposit	100

Attach additional information on appropriately labeled continuation sheets. **SUBTOTAL $** 100

Schedule I Summary

1. Itemized increases to cash this period. .... $ 100
2. Unitemized increases to cash of under $100 this period. .... $ 25
3. Total of all interest received this period on loans made to others. (Schedule H, Column (e).) .... $ 0
4. Total miscellaneous increases to cash this period. (Add Lines 1, 2, and 3. Enter here and on the Summary Page, Line 14.) .... **TOTAL $** 125

AMENDMENT REQUEST FORM

- Used to inform committees on needed amendments.
- Can be used by CFO to review Form 460s.

RECIPIENT COMMITTEE CAMPAIGN STATEMENT
FORM 460 AMENDMENT REQUEST

FPPC - (866) ASK-FPPC / advice@fppc.ca.gov

INSTRUCTIONS: A check mark indicates an amendment is required. File your amended statement at:

Statement Verification Date: ___/___/___

Period Covered by Statement: ___/___/___ to ___/___/___ Name: ______________________

AMENDMENT REQUEST FORM

Cover Page
- ○ Period covered (for all schedules)
- ○ Address was incomplete
- ○ Signature missing
- ○ Treasurer information was incomplete
- ○ Other - see comments section

Summary Page
- ○ Column A, Line ___ does not match with applicable schedule
- ○ You indicated that schedule(s) were attached. However, the schedules were not attached to the statement.
- ○ Lines _________ were left blank in column A or B
- ○ Other - see comments section

Schedule A
- ○ Date received column was left blank
- ○ Street address for contributor(s) was incomplete
- ○ Contributor code was not marked for contributor(s)
- ○ Occupation & employer column was left blank or incomplete for individual contributor(s)
- ○ Amount received this period was missing
- ○ Cumulative to date column (Jan 1 - Dec 31) was missing
- ○ Summary section was incomplete
- ○ Other - see comments section

Schedule B
- ○ Street address for contributor(s) was incomplete
- ○ Contributor code was not marked for contributor(s)
- ○ Occupation & employer column was left blank or incomplete for individual contributor(s)
- ○ Outstanding balance beginning this period was left blank
- ○ Amount received this period was left blank
- ○ Amount paid or forgiven this period was left blank
- ○ Outstanding balance at close of this period was left blank or incomplete
- ○ Interest paid this period was left blank or incomplete
- ○ Original amount of loan was left blank or incomplete
- ○ Date incurred for original loan amount was missing
- ○ Cumulative to date column (Jan 1 - Dec 31) was missing
- ○ Summary section was incomplete
- ○ Guarantor information was incomplete
- ○ Other - see comments section

Schedule C
- ○ Date received column was left blank
- ○ Street address for contributor(s) was incomplete
- ○ Contributor code was not marked for contributor(s)
- ○ Occupation & employer column was left blank or incomplete for individual contributor(s)
- ○ Description of goods/services was missing
- ○ Amount/fair market value was missing
- ○ Cumulative to date (Jan 1 - Dec 31) was missing
- ○ Summary section was incomplete
- ○ Other - see comments section

Schedule D
- ○ Date was missing
- ○ Support/oppose box was not marked
- ○ Type of payment was missing
- ○ Description (if required) was missing
- ○ Amount this period was missing
- ○ Cumulative to date column (Jan 1 - Dec 31) was missing
- ○ Summary section was incomplete
- ○ Other - see comments section

Schedule E
- ○ Street address of payee was incomplete
- ○ A code or description of payment was missing
- ○ Amount paid was missing
- ○ Summary section was incomplete
- ○ Other - see comments section

Schedule F
- ○ Street address of creditor was incomplete
- ○ A code or description of payment was missing
- ○ Outstanding balance beginning of this period was missing
- ○ Amount incurred this period was missing
- ○ Amount paid this period was missing
- ○ Outstanding balance at close of this period was missing
- ○ Summary section was incomplete
- ○ Other - see comments section

continued on other side...

LET'S LEARN ABOUT:

- Statement Logs
- Late Filers
- Enforcement Referrals
- Public Access/Retention of documents
- After Election
- E-Filing
- AB 571 Candidates

STATEMENT LOG

- A tool to determine if statements have been filed
- Select what format that works best for you
- Must be available to the public

SAMPLE LOG

Form	Period Covered	Due Date	Date Filed	# Days Late
501	NA	NA	12/12/XX	
410	NA	NA	3/6/XX	
460 Semi-Annual	1/1/XX* – 6/30/XX	7/31/XX	8/3/XX	3
460 1st Pre-Election	7/1/XX – 9/30/XX	10/5/XX	10/5/XX	
460 2nd Pre-Election	10/1/XX – 10/20/XX	10/25/XX	10/24/XX	
460 Semi-Annual	10/21/XX – 12/31/XX	1/31/XX	1/15/XX	

*Opening date for 1st statement is always 1/1/XX

FINING LATE FILERS

Filing deadlines may not be extended.

Filing officers may impose a full fine, partial fine, or waive the fine.

Develop written guidelines and provide a copy to all candidates and committees.

Begin counting the number of days late on the day after the deadline, not on the day the committee is notified.

Any person filing an original statement after a deadline, is liable of a fine of $10/day until the statement is filed.

Form 470 filers may only be fined $100, maximum.

Deposit fines into agency's general fund.

MANAGING NON-FILERS

- Refer to your log to determine whether any statements are missing
- Notify non-filers by:
  - Telephone (keep a record of the call)
  - Written Notice (keep a copy of the letter/email)
- Make an enforcement referral if the statement is not filed after you send two written notices

ENFORCEMENT REFERRAL

- Mandatory for filing officers
- Make two notifications to non-filer before referring to FPPC
- Use electronic complaint system
- Answer all questions asked by system

ENFORCEMENT REFERRAL

- Most recently filed campaign statement
- Contact information for candidate and/or committee
- Copies of non-filer notifications
- All relevant information that Enforcement needs to know

PUBLIC ACCESS

- Second business day
- No conditions
- Copies:10 cents per page
- No redaction on copies provided to the public

AB 2151 AND CAMPAIGN STATEMENT ACCESS

Effective January 1, 2021, agencies who DO NOT have an electronic filling system are required, by law, to post filed campaign statements and reports within 72-hours of the applicable filing deadline.

When the 72-hour deadline falls on a Saturday, Sunday or a holiday, the deadline is extended to the next business day.

These posted statements must remain on the agency's website for 4 years.

Please forward the FPPC a link to the page that contains posted statements (AB2151@fppc.ca.gov). Including when there are changes made to the link.

AB 2151 CON'D.: REDACTION GUIDELINES

When campaign statements are posted to the website, the statements must be redacted of the following information before posting*:

- Street name;
- Building number of persons or entity representatives listed on any statement; and
- Bank account number.

* Reminder that this statement is still considered a public document and must be produced unredacted upon request.

STATEMENT RETENTION

Mayors, City Council Members, County Supervisors: Indefinitely

All "original" campaign statements for other candidates and committees *(i.e., school board, water district, ballot measure committees):* 7 years

Original campaign statements for defeated non-incumbent candidates: 5 years

All "copies" of campaign statements *(i.e. Form 410):* 4 years

All electronically filed campaign statements: 10 years

After 2 Years…

May retain on a space-saving device and discard paper. Must still comply with the public access rules and be prepared to provide copies.

AFTER THE ELECTION

- Check filing schedules for potential due dates
- Committees may terminate once all refunds have been received and all balances zeroed out.

	Successful CANDIDATES	Defeated CANDIDATES	BALLOT MEASURE COMMITTEES	GENERAL PURPOSE COMMITTEES
460 Filers	Semi-annual until committee terminates	Semi-annual until committee terminates	Semi-annual until committee terminates, and possibly quarterly	Semi-annual until committee terminates, and others during election years
470 Filers	File by July 31 each year if public salary is $200 or more/ month	No more filings	NA	NA

TERMINATING A COMMITTEE

- Committees may terminate if they:
    - Have no remaining campaign funds
    - Are not still receiving contributions
    - Are not still making expenditures
    - Are not expecting a refund for filing or ballot statement fees
- Complete forms:
    - 410 (Submit to SOS)
    - 460 (Submit to local filing officer)
- Unsuccessful candidate committees should terminate before funds become surplus (90 days after the end of the semi-annual reporting period)

ELECTRONIC FILING

- Local ordinances for e-filing
- Redaction requirements for internet postings
- Paper filings NOT required in addition to e-filing

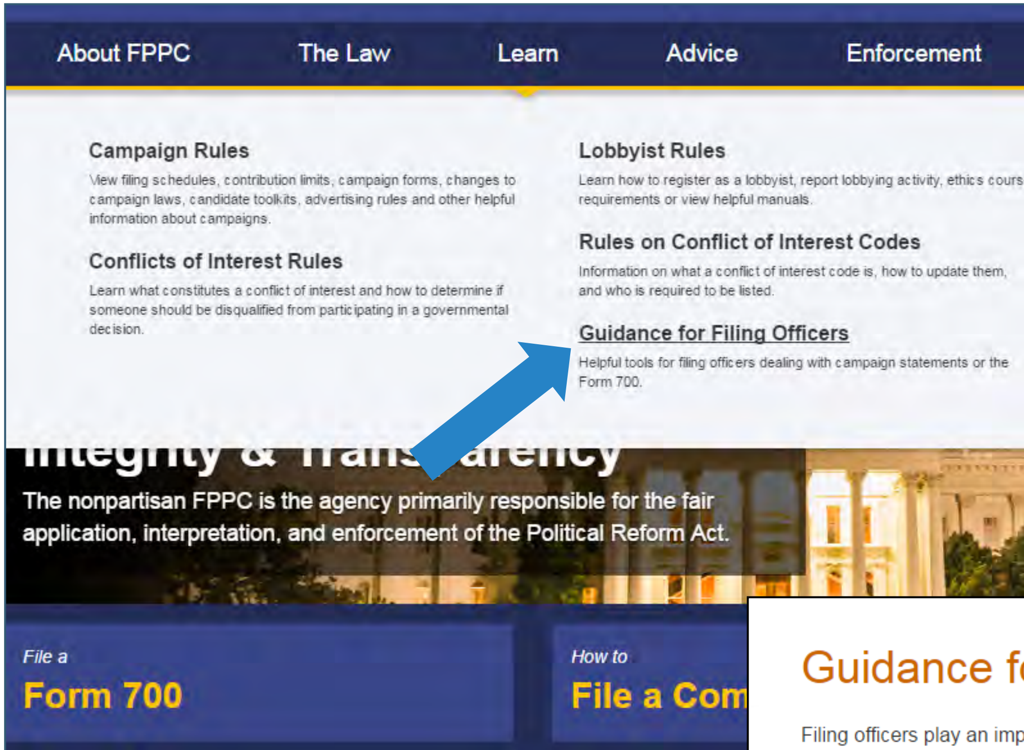
AB 571 & LOCAL CONTRIBUTION LIMITS

- Effective January 1, 2021, any local city or county who has not established contribution limits or a "no limit" ordinance, is subject to the state limits ($4,900 through December 2022).
- This does not include special districts or school districts, only city and county candidates.
- The FPPC is not responsible for enforcing any local contribution limits, but is responsible for enforcement of AB 571 limits.

* To find view our FAQs go to FPPC.ca.gov > Learn > Campaign Rules > Local Campaign Ordinances.

AB 571 RESOURCES

- Local City and County Contribution Limit Webpage
  - https://fppc.ca.gov/learn/Contribution-Limits-City-and-County-Candidates.html
- Contribution Limits: City and County Candidate Fact Sheet (AB 571)
  - https://www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Campaign%20Documents/AB_571_Fact_Sheet_Final.pdf
- Terminating Committee Fact Sheet
  - https://www.fppc.ca.gov/content/dam/fppc/NS-Documents/TAD/Candidate%20Toolkit/Terminating-Your-Committee-01-18.pdf



FPPC Resources

Guidance for Filing Officers

Filing officers play an important role in helping to ensure provisions of the Political Reform Act are effectively and efficiently administered. To achieve this goal, the officers are required to perform specified duties under the Act, including providing public access to disclosure statements, following up on those who fail to file, and reviewing filed statements for errors and omissions. The duties are listed in Regulation 18110 for processing campaign statements and Regulation 18115 for processing Statements of Economic Interests (Form 700).

Click on the links below for information about some of the more common filing officer duties. For additional assistance, the FPPC provides several training options for filing officers, including workshops at the FPPC, webinars, online videos, and in-person seminars at your agency. To learn more and pick the training option that best meets your needs, click on the FPPC Training and Outreach link below.

Resources for Filing Officers...

- Campaign Filing Officer Duties
- Form 700 Filing Officer Duties
- Form 700 Electronic Filing Certification for an Agency's Internal Filers
- Ask FPPC for Advice
- FPPC Training & Outreach

Phone Advice

M-Th 9-11:30 a.m.

1-866-275-3772

E-mail Advice

advice@fppc.ca.gov

Thank You!

Now onto the final topic – What's New For Filing Officers!

What's New for Filing Officers

PRESENTED BY

CHLOE HACKERT & ADAM RAMIREZ
EDUCATION & EXTERNAL AFFAIRS UNIT
FAIR POLITICAL PRACTICES COMMISSION

What We'll Cover Today

- FPPC Newly Adopted & Pre-Noticed Regulations
  - Cryptocurrency
  - Filing Officer Referrals
  - Prenotice Campaign Regulations
  - Prenotice Personal Use Regulation
- Enforcement News
- Website Updates for Transparency
- What's New!

Cryptocurrency

In July 2022, the Commission adopted Regulation 18421.2 which authorizes candidates and committees to solicit a contribution of cryptocurrency as an in-kind contribution.

This repeals the prior Commission Regulation to prohibit the making or acceptance of cryptocurrency contributions.

However, now these contributions are subject to specific requirements as detailed on the next few slide.

Regulation 18421.2

Cryptocurrency

- Committees may solicit contributions of cryptocurrency, or virtual currency, in any amount not exceeding any applicable contribution limit.
- While committees cannot receive cryptocurrency contributions directly, committees may receive these types of contributions through a payment processor selected to act as a vendor on behalf of the committee.
- The amount of a cryptocurrency contribution is the fair market value of the cryptocurrency at the time the payment processor obtains possession of the contribution.
- Any cryptocurrency contribution must be made and received through a U.S. based cryptocurrency payment processor registered with the U.S. Department of Treasury, Financial Crimes Enforcement Network.

Regulation 18421.2

Filing Officer Referrals

In July 2022, the Commission adopted amendments to Regulation 18360 regarding filing officer referrals. The amendments include:

- Providing the email address, mailing address or telephone number at which the referred person or entity was contacted.
- Attempts to contact a referred person who left office or is no longer at an agency should be made to a personal email address, home mailing address, or personal telephone number known by the filing officer if the filer cannot be contacted through an agency email address, phone number, or mailing address.

Regulation 18360

Filing Officer Referrals – Form 700

- If the filing officer does not have any personal contact information for the filer, the filing officer shall make best efforts to obtain personal contact information for the filer, including requesting the information from the filer.
- If the filer is on leave, provide that information along with the expected return date, if known.
- Before making a referral to the Enforcement Division, the filing officer shall attempt to contact the filer by telephone at least once.
- For 87300 filers, include a copy of the agency's conflict of interest code.
- If a filing officer subsequently receives a filing from a referred Form 700 filer, the filing officer must notify the Enforcement Division within 7 days of receipt of the filing.

Regulation 18360

Filing Officer Referrals – Campaign

- For campaign non-filer referrals, filing officers must include:
- A copy of the most recently filed campaign statement, if any, including all relevant schedules.
- Office sought or held, if applicable
- Current contact information for the committee, candidate if applicable, and the committee’s treasurer.
- Filing methods available to the filer at their agency, such as paper or electronic filing.
- If a filing officer subsequently receives a filing from a referred candidate or committee, the filing officer must notify the Enforcement Division within 7 days of receipt of the filing.

Regulation 18360

Prenoticed Campaign Regulations

- Amendments to Regulation 18410
  - If approved, amendments will require disclosure of all individuals authorized to access a committee's bank account.
  - If approved, this regulation will require changes to the Form 410 to include this information.
- Amendments to Regulation 18531.5
  - If approved, amendments will clarify existing rules regarding recall elections.
    - The target officer of a recall is not required to file a Candidate Form 700.
    - Pre-election reports and 24-hour reports are not required for a target officer's other controlled committees by virtue of the recall being on the ballot.
- Proposed Regulation 18400
  - If approved, the regulation would prohibit a minor from serving in the role of a campaign committee treasurer, assistant treasurer, or as a responsible officer or principal officer.

*All of these regulations were prenoticed at the Aug 2022 Commission Meeting. They will come before the Commission later this year for final adoption/approval.

Prenoticed Personal Use Regulation

- Amendments to Regulation 18960 applies the definition of a "direct personal benefit" under the Act to recently adopted Sections 89521(b) and 89511(b)(3).
  - Amendments also remove the $200 threshold in Regulation 18960.
    - Recently adopted Section 89521(b) established enhanced penalties for unlawful personal use of campaign funds in the amount of $10,000 or more.
  - Amendments provide a list of persons to whom the regulation applies as identified in Sections 89511(b)(3) and 89521(b).

*This regulation was prenoticed at the July 2022 Commission Meeting. This regulation will come before the Commission in September for final adoption/approval.

Enforcement News

In 2022, FPPC's Enforcement Division will again run the proactive pre-election filing program to identify committees who do not file timely pre-election statements.

Enforcement will reach out to:

- All counties
- All cities holding elections in June or November (pop. over 100,000)
- Anyone else who would like to participate

Cities meeting the criteria will receive an email at least 90 days before the election explaining the program and again the day after the first and second pre-election deadlines. If a candidate or committee hasn't filed, FPPC's Enforcement Division will contact them directly rather than filing officers having to do so. **This program resulted in 100% compliance in the June 2022 Primary Election!**

Local Campaign Ordinances

- Ordinances are posted on FPPC's website.
- You are required to provide us with most recent ordinances.
- Send updates to advice@fppc.ca.gov.

Local Campaign Ordinances

A local jurisdiction may enact a campaign ordinance that provides for additional or different campaign requirements for committees active exclusively in its jurisdiction as long as the provisions are *stricter* than those in the Act.

While the FPPC may neither interpret nor comment on the viability, enforceability, or constitutionality of a local ordinance, we are not constrained from identifying those provisions that may conflict with or impede a person's compliance with the Act.

Cities and counties that have adopted a campaign finance ordinance must submit a copy to the FPPC here. The FPPC has received information from the agencies listed below, and the posted ordinances are the latest versions provided to the FPPC. For questions interpreting any of these provisions, or to check on any amendments to the ordinances, please contact the local jurisdiction directly.

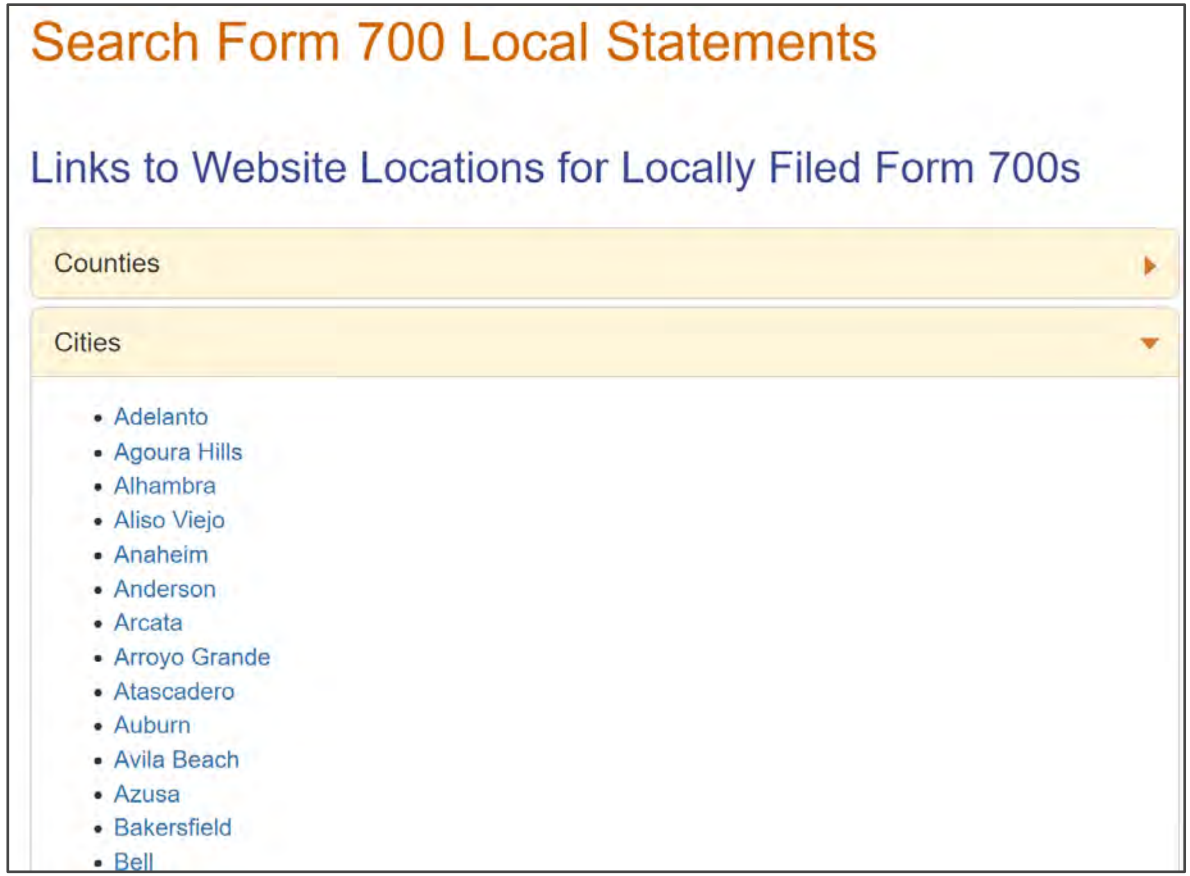
Cities

Counties

Special Districts

Form 700 Local Statements

- Links to locally filed Form 700s by jurisdiction posted to FPPC's website.
- Please send us your links!
- Send updates to form700@fppc.ca.gov.



Form 802

Regulation 18944.1

You are no longer required to send Form 802 to FPPC, but instead, you will post them on your agency's website and email the link to us at form802@fppc.ca.gov.

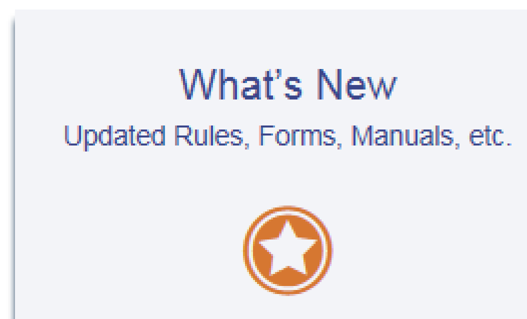
Your agency's ticket policy must be also be posted on your website and a link must be sent to FPPC.

The FPPC will post on its website a link to the page of your agency's website that contains the ticket policy and the completed 802 forms.

It is not necessary to send an email each time a new Form 802 is posted. After the initial e-mail, it is only necessary to submit the link if the posting location on your website changes.

What's New is What's New!

Click on this link at the bottom of our homepage



What's New is What's New!

What's New

In an effort to keep you informed regarding new and updated laws, manuals, forms, and other FPPC publications and services, this page will be updated each time changes occur. In most cases, links to updated material will remain for six months after the date of publication.

Campaign Manuals

- The Campaign Disclosure Manuals have been updated through June 1, 2020. They can be found on the Campaign Disclosure Manuals page.

New Fact Sheets

- AB 571 Fact Sheet
- Behested Payment Report Fact Sheet
- Updated Filing Officer and Filing Official Duties Relating to Statements of Economic Interests
- Limited Liability Company Fact Sheet on New Regulations
- Committee Naming Fact Sheet
- Sponsored Committee Qualification and Naming Fact Sheet
- Filing with a Digital Signature Fact Sheet
- An Overview of Conflicts of Interest

Biennial Notices for Multi-County Agencies

- The Act requires every multi-county agency to review its conflict of interest code biennially and notify FPPC by October 1, 2020 as to whether or not the agency's code needs to be amended. The appropriate documents are posted on the Rules on Conflict of Interest Codes for State and Local Agencies page.

Political Reform Education Program (PREP)

WHAT IS PREP?

PREP is a new educational program created by the Commission!

The purpose of PREP is to allow for education of Respondents who have little or no experience with the Act and commit minor violations, in lieu of monetary penalties.

PREP has launched their first course, Statements of Economic Interests Course, with plans for future courses on other topics, such as local campaign.

PREP has its own webpage www.fppc.ca.gov → Learn → Political Reform Education Program (PREP)

Remember…

- Filing officer campaign duties are noted in Regulation 18110.
- Filing officer Form 700 duties are noted in Regulation 18115.
- Technical questions about FPPC's Form 700 e-filing system should be sent to form700@fppc.ca.gov.
- Our e-mail and phone Advice teams can answer your customers' questions about the content of their statements.
  - advice@fppc.ca.gov
  - (866) 275-3772

THANK YOU!

Thank you for attending today's training!

If you have any questions, please do not hesitate to contact us at advice@fppc.ca.gov.