



## Application to Obtain Certification of Electronic Filing System for Processing a Statement of Interests, Form 700

### 1. This application is for the following agency:

Name of Agency			
Check if this is your initial request for certification or if this is for re-certification <input type="checkbox"/> Initial <input type="checkbox"/> Re-Certification			
Agency (Check One) <input type="checkbox"/> State <input type="checkbox"/> County <input type="checkbox"/> City <input type="checkbox"/> Special District <input type="checkbox"/> Other _____			
Business Street Address			City
State	Zip Code	Email	Telephone Number

### 2. The agency contact for questions relating to certification:

Name (Last, First)	Title
Email	Telephone Number

### 3. Vendor or service provider:

Vendor Name	Contact Name (Last, First)	Title
Email	Telephone Number	
a) Has the vendor or service provider been previously approved by the FPPC? (If response is (No), please complete section 4)		<input type="checkbox"/> Yes <input type="checkbox"/> No
If response was yes, has the vendor or service provider system been modified which changes the previously approved system specifications or network diagram? (If response is (Yes), please complete section 4)		<input type="checkbox"/> Yes <input type="checkbox"/> No

### 4. New vendor or service provider requirements:

The agency seeking approval and certification of an electronic filing system for statements of economic interests shall submit the following to the Commission:

a) A description of the electronic filing system that the agency proposes to use with documentation showing compliance with the technical requirements of Section 87500.2, and this regulation will include the following:

- i. System overview
- ii. Specifications
- iii. Network diagrams

These documents shall be submitted as attachments to this application



**5. An agency's proposed electronic filing system agrees to meet the following requirements:**

<p>1) The statement of economic interests filed electronically shall include an electronic transmission that is submitted under penalty of perjury and that conforms to subdivision (b) of Section 1633.11 of the Civil Code.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>2) The agency's filing officer shall issue to a person who electronically files his or her statement of economic interests or amendment an electronic confirmation that notifies the filer that his or her statement of economic interests or amendment was received. The confirmation shall include the date and the time that the statement of economic interests or amendment was received by the filing officer and the method by which the filer may view and print the data received by the filing officer.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>3) A copy retained by the filer of a statement of economic interests or amendment that was electronically filed and the confirmation issued pursuant to subparagraph (A) that shows that the filer timely filed his or her statement of economic interests or amendment shall create a rebuttable presumption that the filer timely filed his or her statement of economic interests or amendment.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>4) The agency shall utilize an electronic filing system that includes layered security to ensure data integrity.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>5) The system shall have the capability to uniquely identify a filer electronically when he or she accesses the electronic filing system.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>6) The operational process for the system shall include industry best practices to ensure that the security and integrity of the data and information contained in the statement of economic interests are not jeopardized or compromised.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>7) The agency shall provide the public with a copy of an official's statement of economic interests upon request, in accordance with Section 81008. The copy of the electronically filed statement of economic interests shall be identical to the statement of economic interests published by the Commission and shall include the date that the statement was filed.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>8) The agency shall have the ability to redact information on a statement of economic interests prior to posting the statement of economic interests on the Internet.</p> <p>a) 18313.6. Online Posting: Redacting Personal Information. (a) At the request of an elected officer, Commission Staff shall redact the following information from the official's statement of economic interest for purposes of the online posting under Regulation 18313.5(b) if the elected officer has a reasonable privacy concern related to an individual's address, or a family member's name or other personally identifiable information:</p> <ul style="list-style-type: none"> <li>i. The address of the individual.</li> <li>ii. The name of the family member.</li> <li>iii. The address of an entity at which the family member is employed.</li> <li>iv. The name of any entity if the name of the entity would reveal the name of the family member or the address at which the family member lives or is employed.</li> </ul>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>



9) The agency agrees to audits of the approved and certified electronic filing system to evaluate its performance and compliance with the requirements of this section.	<input type="checkbox"/> Yes <input type="checkbox"/> No
10) To permit compatibility among systems, an agency’s electronic filing system for statements of economic interests under Section 87500.2 shall accept a filing using a system that permits data to be exported to a common file format such as comma separated values (CSV) or Extensible Markup Language (XML), allowing the data to be easily retrieved on a variety of spreadsheet and database applications.	<input type="checkbox"/> Yes <input type="checkbox"/> No
11) In addition to the requirements set forth in Section 87500.2, an agency’s electronic filing system for statements of economic interests shall include the necessary industry best practices to ensure that the integrity of the data and information is not jeopardized or compromised by using technology such as: <ul style="list-style-type: none"> <li>a) Secured authentication</li> <li>b) Complex password requirements</li> <li>c) Secure sockets layer (SSL)</li> <li>d) Web encryption</li> <li>e) Enterprise-level network firewalls</li> <li>f) Database encryption</li> <li>g) Password encryption</li> <li>h) System hardening procedures</li> <li>i) Backup and restore process</li> <li>j) Disaster recovery capability</li> <li>k) The capability to completely redact or omit information from an Internet posting of the form.</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No

**6. Verification**

The Fair Political Practices Commission is the only agency with authority under the Political Reform Act to adopt the statement of economic interests and its accompanying instructions. Therefore, the agency identified above agrees that it will not make any changes, edits, or redactions to the Form 700 and informational materials approved by the FPPC. The agency understands that any relevant supplemental information or training the agency will provide the filers will be subject to FPPC review. The agency agrees that any additional reporting required pursuant to the agency’s rules or regulations will be in a clearly identified separate document of form. Failure to comply may result in revocation of the electronic filing system.

Initials of signator \_\_\_\_\_

The undersigned agency head or designated agent certifies that he/she has read the conditions for certification and agrees to follow all applicable procedures. The submission conditions and FPPC Regulation 18756 are available on the FPPC website at [www.fppc.ca.gov](http://www.fppc.ca.gov).

Signature \_\_\_\_\_ Printed Name \_\_\_\_\_ Signed on \_\_\_\_\_  
(month, day, year)



## 7. Terms and Conditions

<p>A certification fee of \$1,000 payable to the Fair Political Practices Commission.</p> <p>The Commission may at its discretion, charge a \$1,000 re-certification fee depending on the complexity of the system review.</p>	<p>Emergency filings – In the event that the electronic system becomes inoperable and unable to receive electronic filings, the agency shall, within 24 hours, contact the FPPC. The FPPC will provide an emergency plan that provides for the most timely filing of statements. The emergency plan may require paper submissions or other filing options in order to meet the Act’s requirements.</p>
<p>The agency’s contact person identified on the application on will be the FPPC’s point of contact for any issues relating to the Form 700 and accompanying instructions. The vendor’s contact person will be the FPPC’s point of contact for information on technology questions.</p>	<p>The agency is required to maintain adherence to FPPC requirements following certification and must notify the FPPC of any proposed changes to the system that would impact criteria outlined in the legislation or regulation.</p>
<p>These terms and conditions are subject to change.</p>	<p>Following system approval all agencies will be responsible for ensuring all electronic SEI submissions must have an electronic data stamp and the System Acceptance Number (SAN) displayed at the top of the first page of the Form 700. The SAN will be provided to the agency at the time of system approval and will be in the following format: (000000000-AAA-0000)</p>
<p>All agencies must comply with Government Code Section 87500.2 and FPPC Regulation 18756.</p>	<p>Any additional pages or forms that are not part of the standard Form 700 generated by the FPPC will be clearly identified as not being part of the form 700.</p>
<p>An agency shall not use the electronic program until certification is approved.</p>	<p>An agency that submits a re-certification request must provide information related to any changes since the last FPPC approval.</p>