

Board Liaison Form 700 Procedures

STEP	TYPE OF ACTION	ACTION
***	<p style="text-align: center;">Form 700 Database Verification</p>	<p>The Program Filing Official will send the Form 700 Database to the Board Liaison, no later than January 31st. The Board Liaison will:</p> <ul style="list-style-type: none"> • Review the list to identify any changes/corrections to be made. • Complete a Designated Filer Tracking (DFT) sheet. See Form 700 homepage on right under <i>Forms</i>. • Return the DFT sheet to the Program Filing Official by the appropriate deadline.
****	<p style="text-align: center;">Designated Filer Tracking: Instructions</p>	<p><i>The DFT is a Recurring Use document used throughout the year to notify the Filing Officer of changes (appointments & resignations) to the designated filer list.</i></p> <p><u>DO NOT</u> keep adding changes to a previously filed DFT. Complete a NEW document for each change or additional filings.</p> <p style="color: red;">** Place Board/Committee Name at top of page.</p> <ol style="list-style-type: none"> 1. Name – List ALL names of designated filers, including filers who have left office and have not been reported to CDFA within the last year. 2. Position – Board member. 3. DATE Assuming or Leaving – REQUIRED (see Form 700: Section 3). 4. Email Address – This is necessary for CDFA/FPPC communications. 5. Date Received – Date filed with the Board Liaison. 6. Type of Form – Assuming/Annual/Leaving <p style="color: red;">MAIL ORIGINAL DFT to the Program Filing Official for processing.</p>
1.	<p style="text-align: center;">Annual Notification: Letter</p>	<p>The Program Filing Official will distribute the Annual Notification letter to the Board Liaisons no later than the last week in February.</p>
2.	<p style="text-align: center;">Annual Notification: Distributed</p>	<p>The Board Liaisons will distribute the Annual Notification letter to all Board Members identified in the Conflict of Interest Code via email, mail, or hand delivery.</p> <p>Include a statement that reminds everyone to return their completed Form 700s to the Board Liaison and <u>not</u> to the CDFA Filing Officer.</p>
3.	<p style="text-align: center;">Annual Notification: Tracking</p>	<p>It is required that Annual Notifications be tracked for proof of delivery purposes.</p> <ul style="list-style-type: none"> • Hand delivery should be done at a board meeting and <i>put in the meeting minutes</i> to show proof of distribution. Mail delivery those members not in attendance. • Mail delivery should include a <i>Returned Receipt Requested</i>. • Email delivery should include a delivery receipt associated with the type of program used.

3.	Annual Notification: Tracking (cont'd)	<p>Outlook Users: The following process should be used to put Delivery Receipt Requested tracking on the outgoing email.</p> <table border="1"> <tr> <td data-bbox="513 212 578 296">1.</td> <td data-bbox="578 212 1541 296">Create a folder in the Outlook Cabinet titled Annual Filing Form 700 to use in the collection of delivery receipt messages.</td> </tr> <tr> <td data-bbox="513 296 578 359">2.</td> <td data-bbox="578 296 1541 359">Open a New Email</td> </tr> <tr> <td data-bbox="513 359 578 443">3.</td> <td data-bbox="578 359 1541 443">Address: INCLUDE ALL DESIGNATED FILERS IN THE EMAIL. Include "bc" to CDFAForm700@cdfa.ca.gov.</td> </tr> <tr> <td data-bbox="513 443 578 495">4.</td> <td data-bbox="578 443 1541 495">Click on Options</td> </tr> <tr> <td data-bbox="513 495 578 537">5.</td> <td data-bbox="578 495 1541 537">Click Tracking - Check Request Delivery Receipt</td> </tr> <tr> <td data-bbox="513 537 578 695">6.</td> <td data-bbox="578 537 1541 695">Choose Save Sent Item and folder in Annual Filing Form 700. This saves the original message only. It is suggested that you move and archive the return receipts for six months.</td> </tr> <tr> <td data-bbox="513 695 578 911">7.</td> <td data-bbox="578 695 1541 911">Review Tracking: Open the original email and click on the Tracking icon. This is a complete list of all who have received the message and is continuously updated. PRINT THIS RECORD AS CONFIRMATION THE MESSAGE HAS BEEN SENT. KEEP HARD COPIES FOR FOUR (4) YEARS.</td> </tr> </table>	1.	Create a folder in the Outlook Cabinet titled Annual Filing Form 700 to use in the collection of delivery receipt messages.	2.	Open a New Email	3.	Address: INCLUDE ALL DESIGNATED FILERS IN THE EMAIL. Include "bc" to CDFAForm700@cdfa.ca.gov .	4.	Click on Options	5.	Click Tracking - Check Request Delivery Receipt	6.	Choose Save Sent Item and folder in Annual Filing Form 700 . This saves the original message only . It is suggested that you move and archive the return receipts for six months.	7.	Review Tracking: Open the original email and click on the Tracking icon. This is a complete list of all who have received the message and is continuously updated. PRINT THIS RECORD AS CONFIRMATION THE MESSAGE HAS BEEN SENT. KEEP HARD COPIES FOR FOUR (4) YEARS.
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4.	Form 700: Collected and Reviewed	<p>The Board Liaison will collect all Form 700s and review for required information using the Form 700 Review Procedure. The cover page must include; position, board/committee name, type of form (annual, assuming, or leaving office/retired), number of pages 1-?, and original signature.</p> <p>700s that are incomplete or in error must be returned to the filer for correction. Note: ONLY the filer may cross off and initial changes.</p> <p><i>Once an incorrect form is submitted to the Filing Officer and <u>DATE STAMPED</u> it must then go through the Amendment Process.</i></p>														
5.	FPPC Copy	<p>Effective 1/1/2012, FPPC Regulations required a copy of each Form 700 be sent directly to the FPPC.</p> <p>The Board Liaison will scan or copy each Board Members Form 700 prior to sending on to the Program Filing Official.</p> <p><u>Once the approval of the Official's review has been given</u>, send the copies to the Fair Political Practices Commission. This can be done two ways:</p> <ol style="list-style-type: none"> Scanned documents can be emailed to: 700copies@fppc.ca.gov (In Subject Line put: CDFA – <i>board name</i>) Mail cover letter with board name and copies via FedEx/Certified to: Fair Political Practices Commission Attn: Rene Robertson 428 J Street, Suite 620 Sacramento, CA 95814 <p>NOTE: If errors found, do not send incorrect copy. Have it corrected and make another copy to send to the FPPC.</p>														

6.	Form 700: Submit Forms and the DFT	Board Liaison will submit the Designated Filer Tracking sheet <u>and</u> the Original Form 700s to the Program Filing Official for processing. Complete this step as the forms are collected. Send in batches. DO NOT HOLD until all have been received. <p style="text-align: center;">Form 700s are not considered timely until they are received and date stamped by the CDFA Filing Officer.</p>
7.	Form 700: Final Step	The CDFA Filing Officer will enter each Form 700 into the Form 700 Database. Incorrect Form 700s: see Late Notice Process, #1 below.

CRITICAL! LATE NOTICE PROCESS

Form 700 - Incorrect

1.	Filing Officer: Incorrect Form	Form 700s that are found to be incorrect will be scanned and email notification will be sent to the Board Liaison to expedite the processing of the amendment. The Filing Official will be cc'd for possible follow-up management.
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Form 700 – Non-filer

2.	Board Liaison	Follow-up management (reminders) is necessary to guarantee filing by the Non-filer . The Filing Official will be cc'd on all correspondence sent to the Non-filer for tracking and possible follow-up assistance, if necessary. If there is no response from the Non-filer within the specified deadlines , an email should be sent to the Filing Officer which will include the following information: <ul style="list-style-type: none"> • Non-filer Name • Contact Information (email or mailing address) • Type of Notification made w/dates (# of emails, phone calls, etc.)
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3.	Filing Officer	The notification process for Non-filers is as follows: <ol style="list-style-type: none"> 1. Reminder Email sent 30 days after the due date. 2. First Late Notice is sent out 60-120 days after final filing date. 3. Second Late Notice is sent out within 30-60 days after First Late Notice. 4. Non-filers are reported to the Legal Office 5. Non-filers are reported to the Fair Political Practices Commission for action.
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4.	Filing Officer and Board Liaison	Filing Officer prepares the Late Notice Letter and emails it to the Board Liaison. Board Liaison forwards the email to the Board Member with a “cc” to Program Filing Official and “bc” to Filing Officer .
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5.	Filing Officer	After the Second Late Notice the Department will administer the late filing penalty pursuant to its policy <u>Guidelines for Untimely Submission of Conflict of Interests - Form 700s</u> for all Non-filers.
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6.	Program Filing Official	<p>Designated Filers should be directed to contact the CDFA Filing Officer for help regarding <u>completion of Form 700</u> at:</p> <p>Teresa Swafford 916/403-6616 CDFAForm700@cdfa.ca.gov</p> <p>Human Resources Branch 916/654-0790</p> <p>Contact the Fair Political Practices Commission for <u>technical questions</u> regarding the type of information to report at:</p> <p>Advice Email: advice@fppc.ca.gov Toll-free advice line: 1 (866) ASK-FPPC • (866) 275-3772 Telephone: (916) 322-5660 • Website: www.fppc.ca.gov</p>
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Ethics Training
<p>It is the responsibility of the Board Liaison to make sure all Designated Filers who are <i>not current</i> on the mandatory Ethics Training course complete the course <u>within the next thirty days</u> and every two years thereafter.</p> <p>Upon completion of the course, the Designated Filer will print and send a course Certificate of Completion directly to the Board Liaison for records compliance.</p>

For questions regarding the content of this page contact Teresa at 916/403-6616 or email CDFAForm700@cdfa.ca.gov.