

Program Filing Official Form 700 Procedures

STEP	RESPONSIBILITY OF...	ACTION														
***	Filing Officer	<p>A copy of the Form 700 Database will be sent to Program Filing Officials, no later than January 31st and will include staff and board members.</p> <ul style="list-style-type: none"> ➤ <u>Department Staff</u>: This is for division use only; no verification necessary. ➤ <u>Various Boards</u>: This list should be sent to the Board Liaisons for review and verification. See <u>Board Liaison Procedure</u> for complete instructions. 														
***	Filing Officer	Hold annual update meeting <u>no later than the first week in February</u> for all Filing Officials. The Officials will discriminate the information to the Board Liaisons.														
***	Filing Officer	Draft the Annual Notification letter for all CDFA designated filers. Draft the Board Annual Notification letter specific to the Boards.														
***	Filing Officer	Email both Annual Notification Letters to the Program Filing Officials for distribution <u>no later than the last week in February</u> . It will include What's New? for the current filing year.														
1.	Annual Notification: Letter Distribution	<p>Distribute the Annual Notification letter to designated filers via email/mail using the list provided by the Filing Officer.</p> <p>Distribute the Board Annual Notification letter to all division Board Liaisons.</p>														
2.	Annual Notification: Tracking	<p>It is required that Annual Notifications be tracked for proof of delivery purposes.</p> <ul style="list-style-type: none"> • Mail delivery should include a <i>Returned Receipt Requested</i>. • Email delivery should include a delivery receipt associated with the type of program used. <p>Outlook Users: The following process should be used to put a Delivery Receipt Requested tracking on the outgoing email.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">1.</td> <td>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 style="text-align: center;">2.</td> <td>Open a New Email</td> </tr> <tr> <td style="text-align: center;">3.</td> <td>Address: INCLUDE ALL DESIGNATED FILERS IN THE EMAIL. Include "bc" to CDFAForm700@cdfa.ca.gov.</td> </tr> <tr> <td style="text-align: center;">4.</td> <td>Click on Options</td> </tr> <tr> <td style="text-align: center;">5.</td> <td>Click Tracking - Check Request Delivery Receipt</td> </tr> <tr> <td style="text-align: center;">6.</td> <td>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 style="text-align: center;">7.</td> <td>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.</td> </tr> </table> <p style="text-align: center;">PRINT THIS RECORD AS CONFIRMATION THAT THE MESSAGE HAS BEEN SENT. KEEP HARD COPIES FOR FOUR (4) YEARS.</p>	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.
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3.	Form 700: Collected and Reviewed STAFF	Collect all Form 700s and review for required information using the Form 700 Review Procedure . The cover page must include; position, branch, type of form (annual, assuming, or leaving office), number of attached pages (1-?) , and original signature . 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. Once an incorrect form is submitted to the Filing Officer and date stamped it must then go through the Amendment Process.
4.	Form 700: Collected and Reviewed BOARDS	Verify. The Board Liaison will give board Form 700s and the Designated Filing Tracker sheet (DFT) to the Filing Official. Forward them to the Filing Officer for processing.
5.	Form 700: Submit Forms	Submit all Form 700s to the Filing Officer for processing. Send in batches. DO NOT hold until all have been received. Form 700s are not considered filed timely until they are received and date stamped by the Filing Officer.
6.	Form 700: Final Step	The CDFA Filing Officer will enter each form into the Form 700 Database. Form 700s that are incorrect will be returned to the Program Filing Official for correction. See the <i>Late Notice Process, #1</i> 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 Filing Official to expedite the processing of the amendment. Filing Officials will be included in all correspondence sent to the Board Liaisons for tracking and possible follow-up assistance, if necessary.
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Form 700 – Non-filer

2.	Program Filing Official	Follow-up management (reminders) is necessary to guarantee filing by the Non-filer. 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 • Classification • Type of Notification made w/dates (# of emails, phone calls, etc.) Board Liaisons will “cc” Filing Officials in ALL Non-filer correspondence sent for tracking and possible follow-up assistance, if necessary.
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3.	<p style="text-align: center;">Filing Officer “cc” Officials & Liaisons</p>	<p>The notification process for Non-filers is as follows:</p> <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 and/or Fair Political Practices Commission for action.
4.	<p style="text-align: center;">Filing Officer</p>	<p>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.</p>
5.	<p style="text-align: center;">Program Filing Official</p>	<p>Designated Filers should be directed to contact the CDFA Filing Officer for help regarding <u>completion of Form 700</u> at:</p> <p style="text-align: center;"> Teresa Swafford 916/403-6616 <u>Teresa.swafford@cdfa.ca.gov</u> </p> <p style="text-align: center;"> Human Resources Branch 916/654-0790 </p> <p>Contact the Fair Political Practices Commission for <u>technical questions regarding type of information to report</u> at:</p> <p style="text-align: center;"> California Fair Political Practices Commission Advice Email: <u>advice@fppc.ca.gov</u> Toll-free advice line: 1 (866) ASK-FPPC • (866) 275-3772 Telephone: (916) 322-5660 • Website: <u>www.fppc.ca.gov</u> </p>

Ethics Training

It is the responsibility of the Program Filing Official to make sure that all Designated Filers who are **not current** on the mandatory **Ethics Training course** complete the course within the next thirty days and every two years thereafter.

Upon completion of the course, the Designated Filer will print and send a course Certificate of Completion directly to the Program Filing Official to track and forward to the Learning and Development Center for records compliance.

Board Members, upon completion of the course will print and send a course Certificate of Completion directly to the Board Liaison for records compliance.

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