

# State of California, Secretary of State

## Minutes of the CLAIMS User's Group Meeting

October 14, 1999

Secretary of State's Office, Sacramento, CA

### **In attendance were:**

Caren Daniels-Meade, Political Reform Division  
Steve Kawano, Information Technology Division  
David Hulse, Political Reform Division  
John Keplinger, Political Reform Division  
Miguel Castillo, Information Technology Division  
Lisa Leong, Political Reform Division  
Wayne Cox, SAIC  
Malcolm Cummings, SDR  
Lisa Eichler, SAIC  
John Krivacic, Booz-Allen & Hamilton  
Roger Anderson, Booz-Allen & Hamilton  
Mike Shulem, Data+ Imagination  
David Montgomery, NetFile  
Virginia Crespo, League of Women Voters  
Carla Wardlow, Fair Political Practices Commission  
Sunny Jung, Franchise Tax Board  
Darryne T. Agar, SAIC  
Belinda Gross, Olson, Hagel et al.  
Sheila Scally, Olson, Hagel et. al.  
Lap Tam, Olson, Hagel et. al  
Rick Ehrlinspiel, GoldenPoint/Runforoffice.com  
Chris White, Aristotle Publishing  
Nishan Majarian, NetFile  
Joe Estermann, Aristotle Publishing  
John Coktosen, N. Johnson & Assoc.  
Cynthia Byant, Senator Johnson

Distributed were a copy of CAL errata 1.02.00, CAL Format Release/Revision 1.02.00, CAL 1.01.00 Amendment Processing of Items in Schedules, and Statement of Intention for Electronic Filing per SB 49.

Steve Kawano, Project Manager, from the Information Technology Division of the Secretary of State's Office, was unable to attend the entire meeting due to a conflicting schedule. Therefore, Miguel Castillo of the Information Technology Division, Secretary of State's Office, represented ITD, and was available to answer ITD questions related to CLAIMS.

Bill Wood, Chief Legal Counsel, Secretary of State's Office, gave an update concerning the lawsuit filed by Statecraft, which is currently pending. The Attorney General's Office

is working with and representing the Secretary of State's Office in this lawsuit. The project should continue as scheduled, and Bill Wood will keep group apprised of any new developments.

## Meeting Overview

Wayne Cox, SAIC, presented the meeting overview:

- CAL filing format
- X 12 Transaction Set 113 (questions/concerns)
  - ✦ IC release – Anticipate release within a few days, and will be posted on web site.
- Issues discussion coordinated by Wayne Cox, SAIC, Malcolm Cummings, SDR and David Hulse, Political Reform Division
  - ◆ Review of changes made since the last User's Group meeting on September 23. Lobbyist schedules have been corrected.

Text fields have a separate text bracket for memo's and schedules. It has been set for 4,096, which is a typical field size and matches nicely with X 12. Unfortunately, Oracle database text field only goes to 4,000 characters, therefore, the maximum size of the text associated with the description/memo/notes with the document will be 4,000 characters. Anything exceeding the maximum length will be rejected, including non-required fields. This issue will be worked out in the testing phase before vendors are certified.

Page 11, of the California File .XAL Layouts release 1.02.00 -- The expense codes being used, which appear on Schedule E, Form 460, will be used for the overall table and expense code to be used in the system. Have inserted three additional codes for monetary/income and loan for use of Form 460, Schedule D, Form 450, Part 4, Form 461, Part 5 and Form 465, Part 4. What is now page 11 of the expense codes is a primary list of codes for Schedule E, with three additional codes.

Page 12, transaction identification and amendment process to Schedule A and Schedule B should be the same, but is not required. (Please refer to handout provided.) The reason to have the match of the transaction ID replaced by optional codes, cross-referenced receipt schedule loan schedule enables stronger coding as well as stronger length.

Item 6. The receipt, expense, debt and the loan layouts are the XRef\_SchNM, These are the two character codes, i.e., Schedule B 2, you could insert an "A", and Schedule A, you could insert "B 2". This will allow the printing of the report to indicate that these entries are related.

Concern of the Amendment Processing of Items in Schedules (CAL 1.02.01), and how it can be modified to accommodate the needs of the vendors. i.e., the need would be to increase the codes due to accounting purposes as well as the filings. Will research and

work on a solution. Carla will research question regarding Schedule F lumping expenses and what's the preferred way of completing the forms so the amounts in the four columns total to the proper tally at the bottom and where they appear elsewhere -- how to avoid double counting figures. A suggestion was made to have the sub-total column removed. (Request will be looked into.)

Item 5. The amendment to move three text fields to fix the portion of the CVR layout from the Form 460's variable portion will be adopted at the December Commission meeting; it appears that the lobbyist forms will remain the same. Commission also expected to adopt the addition of amendment boxes to those forms not previously modified in the campaign suite of forms, thereby eliminating the Form 405.

Item 4. Need for repeating fields. Part 2, sections 4 and 5 of the 460 cover page should be repeating fields.

Clarification of double quotes was requested. The requirement is if a text field contains a comma that would be a delimiter, then the need for quotes is required. However, it is recommended but not required to use double quotes on dates and addresses.

Requested that the city and state from the signature line be deleted on campaign but not lobbyist forms. Carla indicated that the location (i.e., city and state) in the verification (i.e., signature) section will not be a requirement on all 400 series forms. It is anticipated that the amendment will be made at the December Commission meeting. It was also noted that "city and state" field should be an optional field. Wayne also indicated that when the amended forms package is received from Carla (FPPC), the issue of the signature line will be addressed.

On all 400 series forms, it is anticipated that there will be a check box for amendments with enough lines to provide a description of the amendment.

On Schedule H, Part 2, third party payee, it was requested that a detailed record field be provided. May need to revise the loan layout.

Page 37, Item 17 "R" a suggestion was made to have a memo field to satisfy the requirements.

Page 30, a question was brought up -- do we need the same set of requirements that are currently in place for Schedule H, Part 2, i.e., attach to the loan record after treasurer?

Team understands the issues and will look into revising the various forms/filing formats including issues with FPPC.

Wayne reported team is finishing up the Tran utilities on version 1.02 and will be releasing them within the next few days and it will be put on the Internet. Validation

engine will be available in about ten days for a Windows-based version of the forms 410 and 460 and the rest of the forms will coming incrementally thereafter.

For test filing purposes, team asked that the users use the start-up document for the type of entity that user will be working with -- for example 410 and 460 filings. Would like users to fax to the team paper filings of the 410 to begin test filing. This will enable team to create those entities in the database and begin establishing accounts for them. Currently in the process of testing the electronic filing software, configuring servers etc.

David Hulse discussed the handout provided on the Statement of Intention. This is the formal Statement of Intention and will be placed out on the Internet. There are four questions on the front that will need to be filled out, as well as the points of contact. Please mail it to the address provided, and to the attention of David Hulse; fax will be unacceptable since the form requires an original signature. Please make sure to mark each form that will be supported by the vendor. As a requirement to SB 49, we need to report back to the Legislature the cost of the product. This information will be kept on record for the certification process. Please also mock up a 410 for your test cases. We would like to have this back to the Secretary of State's Office by the end of next week.

A question concerning the file transfer protocol and whether it has been established yet was brought up. Will be using the SDR utility similar to FEC and other states, but looking into other potential methods. Currently have published spec open for the interface. Will be providing DLL and Unix environment.

It was noted that the paper filings and electronic filings absolutely must be the same. For example user should be able to take a CAL file out of the system and put it on a Windows PC, and compare it to the rendered version. Once they are back in the filing server, they will be run back against the PDF generation to compare the filings.

If a paper filing comes in on an old form, we should accept that filing as timely filed and send the new form with a letter indicating that client will need to file the new form in the future.

Caren Daniels-Meade discussed the key data portion of the project. For clients that do not submit their filings electronically, we will have key data operators to key in the data to enable the filings to go on-line. We are also looking into scanning options to more quickly process the documents.

Carla also noted if users have questions concerning the various forms, they should contact her or Lynda Cassady at the FPPC.

**Next meeting scheduled for November 10, 1999 at 10 a.m.**

#### Contacts

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Meeting adjourned at 11:25 a.m.

Respectfully submitted,

Joyce Geerling  
Executive Assistant, Political Reform Division