



TECHNOLOGY MANAGEMENT SOLUTIONS

CAL-ACCESS Replacement System Project

**California Secretary of State
Political Reform Division**

**Deliverable 1 – Review, Validate, and Update
Business Process Documentation**

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I. Introduction

This document presents the primary Business Processes as identified by the Secretary of State (SOS) Political Reform Division (PRD).

I.1 Objectives

The objectives of this document are to present the processes, as determined by PRD management; activities the Technology Management Solutions, Inc. (TMS) Business Analyst Team (BAT) performed, with the participation and much appreciated cooperation of PRD staff; and the methodology used to obtain, process, review and finalize the information presented for each process.

The document presents the processes at a high-level, with sufficient information to complete the additional deliverables, as described later in this document. For each process, this information includes, but is not limited to: the purpose, a brief description, embedded diagrammed workflow, step/action table and process narrative, which further describes such information as trigger events, inputs/outputs, constraints, issues, workarounds and exceptions.

I.2 Organization of the Document

This Review, Validate, and Update Business Process Documentation (RVUBPD) deliverable is divided into three main sections.

Section I introduces the document; discusses objectives; explains the methodology used; identifies TMS and PRD Project Team members; defines assumptions, dependencies and constraints; and provides a table of terms/acronyms and definitions.

Section II presents the list of 23 PRD Business Processes with a brief description of each.

Section III provides details on each of the 23 PRD Business Processes, including purpose, description, workflow diagrams, step/action tables and process narratives.

I.3 Methodology

The BAT initiated work on this deliverable by locating and reviewing existing Business Process documents on the PRD shared drive. Using this information, the BAT identified potential business process areas that could be included in the scope of this effort, and presented these findings to PRD management, who refined, categorized and finalized a list of 24 processes. With the approval of PRD management, the BAT combined two of these processes, resulting in a net list of 23 business processes.

Dividing the list of processes, the BAT worked with PRD management to identify PRD Subject Matter Experts (SMEs) for each process. The PRD SMEs participated in fact-finding interviews and multiple document reviews to ensure complete and factual documentation of each process.



At the end of each interview and review period, the BAT conducted a walkthrough with appropriate PRD staff and managers, which served as a final cross-review of the documented process.

Finally, the BAT conducted a QA review of each process, after which they presented the process to PRD management for a preliminary review. Upon completion of these activities, the BAT included the processes and supporting documentation in this deliverable document.

I.4 Project Team

Table 1 lists the BAT resources responsible for the completion of the activities resulting in this RVUBPD.

Table 1: TMS Business Analyst Team Members

NAME	PRIMARY ROLE	TITLE
	Responsible for Deliverable development	Sr. Business Analyst Lead
	Responsible for Deliverable development	Sr. Business Analyst
	Responsible for Deliverable development	Sr. Business Analyst
	Reviewer/QA	Engagement Manager

Table 2 lists the PRD managers and staff who participated in the development, review, and approval of the RVUBPD.

Table 2: PRD Team Members

PRIMARY ROLE	NAME
Deliverable Approver	
Functional Project Lead	
Supporting Managers	
Reviewers/ Subject Matter Experts	



I.5 Assumptions, Dependencies and Constraints

I.5.1 Assumptions

1. PRD has identified all of the business processes that represent the scope of duties within the department.
2. The PRD website publishes information reported by campaign and lobbying entities regarding contributions and expenditures. The published information is obtained in one of the following ways: 1) data entered into the Automated Management System (AMS), 2) data entered into the Cal-Online website, or 3) data submitted to PRD via ftp file. This document assumes that output to CAL-ACCESS and CARES is a result of one of these three inputs.
3. PRD staff reviewing this deliverable document are familiar with the terminology and forms used in the division’s daily work (e.g., Campaign Committee, Major Donor, Lobbyist, Firm, and Form 410). Therefore, these terms are omitted from the Terms/Acronyms and Definitions in Section I.6.
4. Correspondence sent to a filer is considered received by the filer with no further action anticipated (unless otherwise notated).

I.5.2 Dependencies

The RVUBPD has no dependencies on other deliverables (Deliverable 2 – Review, Validate, and Update “As Is” Manuals {RVUAIM} and Deliverable 3 – Validate and Update Business and Technical Requirements {VUBTR}); however, Deliverables 2 and 3 are highly dependent upon complete representation of each process within this document.

Successful completion of the VUBTR, which is a component of Stage 2 Alternatives Analysis as related to reviewing, adding and/or updating mid-level solution requirements relies on clear and complete business processes developed in a collaborative effort between the BAT and PRD (SMEs) and managers. These business processes also serve as the baseline for guidance in developing highly detailed desk guides.

I.5.3 Constraints

1. None

I.6 Terms/Acronyms and Definitions

Table 3: Terms/Acronyms and Definitions

TERM/ACRONYM	DEFINITION
AMS	Automated Management System – primary data entry tool used by PRD staff



TERM/ACRONYM	DEFINITION
BAT	Business Analyst Team – The team representing TMS
CAL-ACCESS	California Automated Lobbying and Campaign Contribution and Expenditure Search System - the online system created by the Secretary of State pursuant to state law for receiving and accessing financial information supplied by state candidates, donors, lobbyists, and others
Cal-Online	Cal-Online - The free filing system for disclosing financial activity and registering lobbying and campaign entities
CARES	CAL-ACCESS REstricted Views - This system is accessible by some Secretary of State staff (internal and external to PRD), as well as designated individuals from FPPC and FTB. It provides full access to all CAL-ACCESS information, including bank account information, which is normally redacted
FPPC	Fair Political Practices Commission - The FPPC has primary responsibility for the impartial administration, implementation and enforcement of the PRA. The FPPC works closely with the SOS, which is the primary filing office for state campaign and lobbying disclosure documents required under the PRA
FTB	Franchise Tax Board – State department chartered to carry out mandatory and random audits
PRA	Political Reform Act (of 1974) - The PRA, as amended, requires, among other things, the disclosure of campaign contributions and expenditures and regulates state lobbying activity
PRD	Political Reform Division - administers provisions of California's Political Reform Act, including the law's most fundamental purpose of ensuring that "receipts and expenditures in election campaigns should be fully and truthfully disclosed in order that the voters may be fully informed and the activities of lobbyists should be regulated and their finances disclosed..."
RVUAIM	Review, Validate, and Update “As Is” Manuals – Deliverable 2 due January 25, 2017
RVUBPD	Review, Validate, and Update Business Process Documentation – Deliverable 1 due September 14, 2016
SME	Subject Matter Expert – PRD staff providing assistance with creating and reviewing the business processes in Deliverable 1
SOS	Secretary of State - The PRA established the Secretary of State as the filing officer to receive and make publicly available the various (Statewide) campaign filings and disclosures mandated by the PRA for candidates, committees and lobbying entities
TMS	Technology Management Solutions, Inc. – vendor supplying the BAT
VUBTR	Validate and Update Business and Technical Requirements – Deliverable 3 due November 9, 2016



II. PRD Business Processes Overview

This section presents an overview of the 23 Business Processes identified by PRD.

II.1 PRD Business Processes and Description

Table 4: PRD Business Processes and Description

PROCESS	DESCRIPTION
1. Campaign: Filer Account Setup/Registration	This process focuses on creating and maintaining the record of the Campaign Filer. It begins with the initial intake of a new campaign entity (e.g., committee, Major Donor), who submits a Form 410, and continues with ongoing maintenance including amendments and terminations. This process also includes setting up and providing the filer's Login/Password.
2. Lobbying: Registration	This process focuses on creating and maintaining the record of a Lobbying entity. It begins with the Initial intake of a new lobby entity (e.g., lobbyist, employer, firm, and client) and continues with ongoing maintenance including changes/amendments.
3. Form 501: Candidate Intention Statement	This process involves the Candidate Intention Statement, which is a form submitted by an individual seeking elective office. This individual may or may not file a Form 410.
4. Report Filing: Coding/Verification	This process focuses on the periodic filings received from both Campaign and Lobbying entities in paper form. The coding process focuses on processing the input of information on the paper forms. Once the coding process is completed, the forms go to the review process.
5. Report Filing: Review	This process focuses on the Review process that follows the coding of both Campaign and Lobbying paper filings.
6. Compliance: Fines	This process focuses on the determination, calculation and notification of fines for both Campaign and Lobbying entities. Fines are based on filings that were filed later than the date they were due.
7. Compliance: Filing Compliance Notice	The primary focus of this process is to manage non-compliance correspondence, waiver requests, and FPPC referrals.
8. Compliance: PDATA Transactions	This process is subdivided into four sub-processes <ul style="list-style-type: none"> • Collection of annual fees and subsequently imposed penalties • Response to requests to waive annual fees and/or penalties • Notation of AMS when notified by SOS-Fiscal of a dishonored check • Handling of correspondence returned by the USPS as undeliverable
9. Linking Initiatives/Ballot	This process focuses on linking filers to Ballot Measures (BM). When an Initiative becomes a BM, there may be groups supporting vs.



PROCESS	DESCRIPTION
Measures	groups opposing its passage. A filer record is created for each of these groups, and all must be associated to the BM in AMS.
10. Vendor Certification	This process focuses on certification of Vendors to file electronically on behalf of filers (Lobby or Campaign). A vendor obtains and submits the appropriate form requesting to file for other specific form(s), and also submits a text file. After review, PRD certifies the vendor who may then submit filings. Once certified - the vendor may offer their services. PRD must certify a vendor for each form they wish to file. This process is undergoing revision due to changes to a current form. Vendors are listed on the PRD webpage.
11. PDATA Batch Transactions	This process focuses on the annual PDATA batch processes that occur to generate the annual fees, penalties, FPPC referrals and appropriate correspondence.
12. Records Transfer	This process describes the coordination of review efforts and physical transfer of PRD records to archive.
13. Lobby Directory	This process focuses on the Lobbying Directory published by PRD via pdf file. PRD publishes the initial Lobbying Directory by April during the first year of the 2-year legislative session. The Directory is maintained (updated as needed) on a quarterly basis through the end of the legislative session.
14. Change Log	This process focuses on the document that tracks the constant changes made to the Lobbying Directory. This is a manual process and the data in the Change Log is published on the PRD website.
15. AMS Election Table	This process focuses on updating the Election Table in AMS to include current election information (i.e. election dates, filing dates, etc.).
16. Application Maintenance	This process focuses on the System Administration Tab of the AMS system which allows designated PRD staff to complete such tasks as creating correspondence templates, updating codes, etc.
17. Management Reports: Expenditure Tracking	This process is associated with BM linking and focuses on the tracking of money spent for campaigns and lobbying, which is done outside of the current automated systems.
18. Cashiering: Payments	This process focuses on receipt and posting of payments, updating the Check Log and deposits.
19. Cashiering: Refunds	This process focuses on the preparation of refund requests, tracking, PRD management approval, and submission of the refund request to Fiscal.
20. Research and Inquiry Response	This process focuses on general guidelines for responding to inquiries via phone from public, media, and other sources, and conducting informational research. Specific process definitions for every potential scenario are not in the scope of this document; rather, the process describes general tasks that occur when a request is received, such as reviewing the request and assigning to a PRD staff for research.
21. Employee Accounts	This process focuses on setting up PRD employee, contractor, student, etc. accounts in the AMS or CARES system. This process



PROCESS	DESCRIPTION
	also addresses employee accounts created in other systems such as the PRD Network, ARTS, ASTROS, PRD Admin Tool, Concrete 5 and Toad.
22. Intake/Receipt of documents	This process focuses on the receipt of documents, forms, checks, etc., in the PRD office from various channels such as mail, fax, email, walk-in, and the routing of that correspondence for further action.
23. Help Desk	This process focuses on the receipt and resolution of support requests from filers. This may include system, website or general education support.



III. PRD Business Processes

III.1 Process 1: Campaign – Filer Account Setup/Registration

III.1.1 ID and Password for Filers

Purpose

This process describes the activities and actions that occur when a Recipient committee, Slate Mailer Organization (SMO), Individual, Major Donor, P-Filer (Payment to Influence Filer), or lobbying entity submits an application to obtain a Logon ID number and password to file online or electronically.

Process Description

In order to submit filings online (via data entry) or electronically (via ftp file upload), a Recipient committee, SMO, Individual, Major Donor, P-Filer or lobbying entity (Firm, Employer, Client, Lobbyist, etc.) must obtain a Cal-Online Logon ID and password. A Recipient committee must complete the campaign registration process using Form 410 to establish a Logon ID before PRD assigns the password. An SMO must complete the campaign registration process using Form 400 to establish a Logon ID before PRD assigns the password. PRD may enter a lobbying entity record into AMS to establish the Logon ID and places the record in a “Suspense” status in order to assign the ID and password. The lobbying registration is considered complete when the record becomes “Active.” Major Donors, P-Filers and Individuals have no registration requirement. These records immediately become “Active” and the Logon ID and PRD assigns the password.

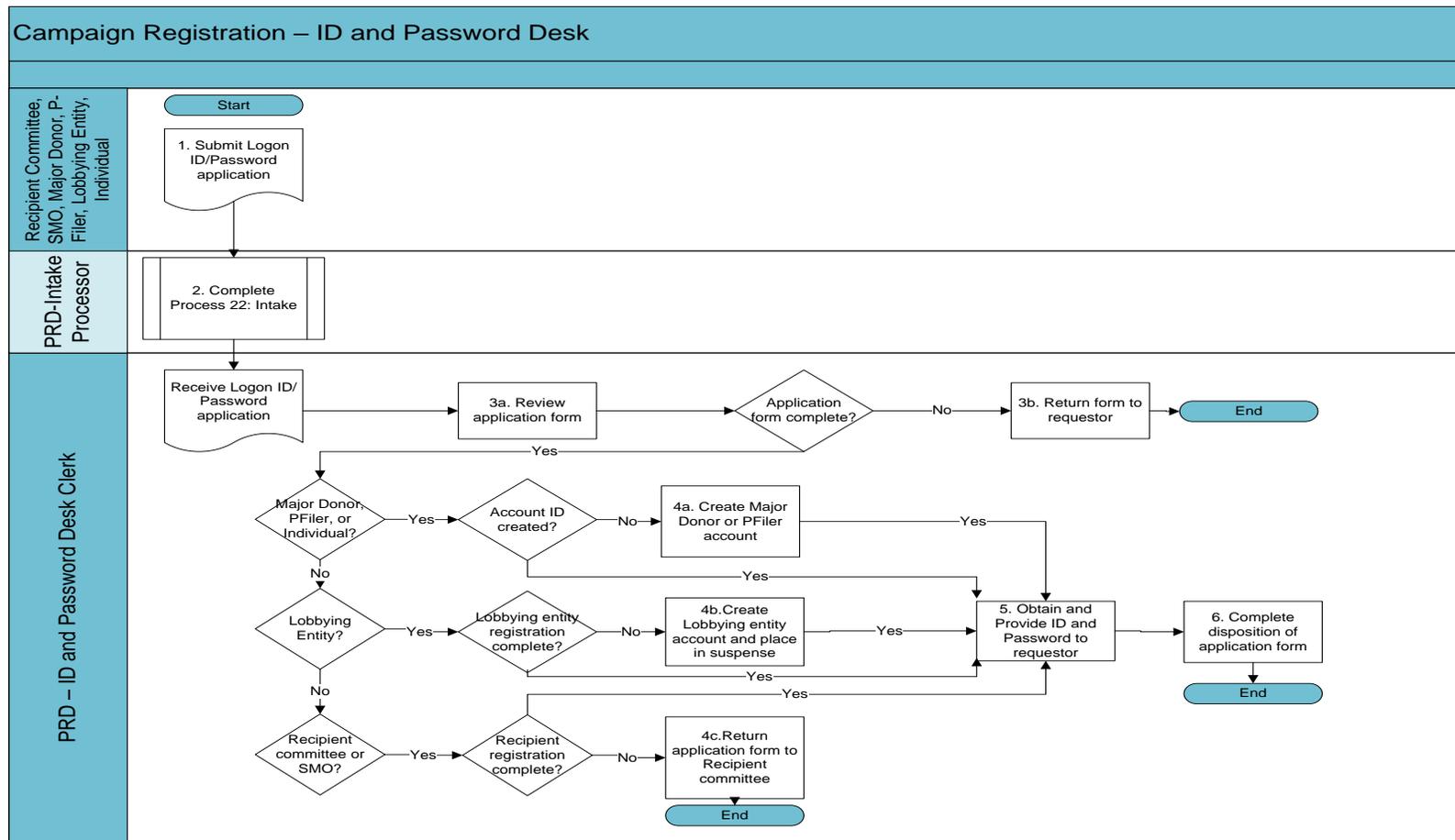
Upon receipt of the application form, PRD searches for the record in AMS and, if found, obtains and provides (via mail, e-mail, fax or in-person) the Logon ID and password to the requestor. If no record is found, PRD creates a new record, and provides (via mail, e-mail, fax or in-person) the Logon ID and password to the requestor. PRD retains the application forms for one (1) year, after which they are destroyed.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to complete the filing and management of an Application to Obtain Logon ID Number and Password to File Online or Electronically.

Figure 1: Process 1.1 Campaign Registration - ID and Password Desk Process



S



Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> A Recipient committee, SMO, Major Donor, P-Filer, lobbying entity or Individual has submitted an Application to Obtain Logon ID Number and Password to File Online or Electronically 	
Step 1: Recipient committee, SMO, Major Donor, P-Filer, Lobbying Entity, Individual	Submit application form <ul style="list-style-type: none"> Download the appropriate Application Form (Campaign, Lobbying or State Candidate-involved Issue Advocacy Filer) from the Secretary of State (SOS) Political Reform Website Complete and sign the form and submits it to the SOS via fax, e-mail, regular mail or in person
Step 2: PRD – Intake Processor	Complete Process 22: Intake <ul style="list-style-type: none"> Receive the submitted form Perform tasks detailed in Process 22: Intake (Receipt of Documents)
Step 3a: PRD – ID and Password Desk Clerk	Review application form <ul style="list-style-type: none"> If the application form is incomplete or not compliant and PRD cannot resolve this information by phone, go to step 3b Otherwise, go to step 4a
Step 3b: PRD – ID and Password Desk Clerk	Return application form to requestor <ul style="list-style-type: none"> Notate the corrections needed on the application form Return the application form to the requestor (fax, e-mail, mail or in person, if waiting in the office)
Step 4a: PRD – ID and Password Desk Clerk	Create Major Donor, Pfiler or Individual account <ul style="list-style-type: none"> If the requestor is a Major Donor, Pfiler or Individual and the account ID has not been previously created <ul style="list-style-type: none"> Enter the information on the application form into AMS Ensure selection of the appropriate role as this impacts the forms made available to the user for online filing Set the status to “Active” Go to Step 5 If the requestor is a Major Donor, Pfiler or Individual and the account ID has been previously created <ul style="list-style-type: none"> Go to Step 5
Step 4b: PRD – ID and Password Desk Clerk	Create Lobbying entity account and place in suspense <ul style="list-style-type: none"> If the requestor is a Lobbying entity and the account ID has not been previously created <ul style="list-style-type: none"> Enter the information on the application form into AMS Ensure selection of the appropriate role as this impacts the forms made available to the user for online filing Set the status to “Suspense” Go to Step 5 If the requestor is a Lobbying entity and the account ID has been previously created <ul style="list-style-type: none"> Go to Step 5



STEPS/ACTORS	DIRECTION
Step 4c: PRD – ID and Password Desk Clerk	Return application form to Recipient committee or SMO <ul style="list-style-type: none"> • If the requestor is a Recipient committee or SMO and the account ID has not been previously created <ul style="list-style-type: none"> ○ Fax, mail or email the rejected application form to the committee/organization (or hand to requestor if waiting in the office) with instructions that Form 410 Statement of Organization Recipient Committee or Form 400 Statement of Organization (Slate Mailer Organization) must be received and processed by the Statement of Organization Desk before the ID/password can be assigned • If the requestor is a Recipient committee or SMO and the account ID has been previously created <ul style="list-style-type: none"> ○ Go to Step 5
Step 5: PRD – ID and Password Desk Clerk	Obtain and Provide ID and Password to requestor <ul style="list-style-type: none"> • Locate and open the Logon Password template on the shared drive. • In AMS, locate the requestor’s Filer record • Right click in the First Name field to open a dialog box <ul style="list-style-type: none"> ○ Select “Copy Name, ID & Password” • Paste this information into the Logon Password template and print the document • Mail, e-mail or fax the application form to the committee/organization using the same method that the application was received. Give the form to the requestor, if s/he is waiting in the office <ul style="list-style-type: none"> ○ PRD never provides the password to a requestor via phone
Step 6: PRD – ID and Password Desk Clerk	Complete disposition of application form <ul style="list-style-type: none"> • File the processed application form in the Passwords drawer • After one (1) year, destroy the application form

Process Narrative Table

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	In order to file electronically or online, a Recipient committee, SMO, Major Donor, Pfiler, Individual or lobbying entity must obtain a user logon and password by submitting a paper application form.
Frequency	The peak processing period occurs around filing deadlines. Average number of requests processed each month is 300.
Actors	<ul style="list-style-type: none"> • Recipient committee, SMO, Major Donor, Pfiler, lobbying entity (Firm, Employer, Client, Lobbyist, etc.) or Individual • PRD staff <ul style="list-style-type: none"> ○ Intake Processor ○ PRD – ID and Password Desk Clerk
Inputs	<ul style="list-style-type: none"> • Application to obtain logon password for a State Candidate-Involved issue advocacy filer (Recipient committee or Individual) • Campaign – Application to obtain logon ID number and password to file online or electronically • Lobbying – Application to obtain logon ID number and password to



PROCESS NARRATIVE	
	file online or electronically
Outputs	<ul style="list-style-type: none"> • Logon Password letter • Send-back letter with application form (for Recipient committees or SMOs who have not completed their respective Form 410/400 Registration) • State filer Rejection letter • Local filer Rejection letter
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	Online/electronic filing forms correlate to specific roles (e.g. lobbyist, employer, client, etc.). Entering the incorrect role could affect a user's ability to file timely if the correct form(s) are not appropriately displayed online.
Issues	<ul style="list-style-type: none"> • PRD must sometimes manipulate addresses to fit into the address fields so that they display correctly on the PRD website • Upon receipt of a password <u>reset</u> request, the ID and Password Desk manually assigns the new password by creating and typing a password that contains eight (8) alpha characters <ul style="list-style-type: none"> ○ AMS does not automatically generate a new password ○ A user cannot change the password online ○ The plus side to this is that the requestor can supply a self-determined password as long as it has eight (8) alpha characters • If an ID and password application form contains an ID, but the name as shown in AMS is different, PRD attempts to resolve this by phone <ul style="list-style-type: none"> ○ If unable to resolve this issue, the ID and Password Desk creates a new account number. This duplication of accounts must eventually be resolved with the deletion of one (or more accounts) • PRD does not verify the identity of an individual who requests a password change
Current Technology	<ul style="list-style-type: none"> • AMS for PRD data entry • Shared Drive for the Logon Password Template
Sub-Processes	Password Changes.
Workarounds	There is systemic inconsistency in data entry requirements for entering entity names into AMS. For example, Major Donors and PFilers names are entered as "last name, first name" in the Last Name field (no entry in the First Name field). This is due to a display issue in CAL-ACCESS.
Exceptions	<ul style="list-style-type: none"> • For logon password requests, a new account record can be set up for Major Donors, PFilers and Lobbying entities, before receiving initial filings <ul style="list-style-type: none"> ○ PRD places Lobbying entity accounts into "Suspense" status until the lobbyist registration process is completed • Recipient committees and SMOs must complete their respective form 410/400 campaign registration process before PRD can provide the logon ID and password to the requestor <ul style="list-style-type: none"> ○ For state filers, Confirmation Letter includes the logon ID and



PROCESS NARRATIVE	
	password

III.1.2 Campaign Registration – Initial

Purpose

This process describes the activities and actions that occur when a committee has formed and submits a Form 410 – Statement of Organization.

Process Description

A committee must submit a Form 410 once it has received \$2,000 in cash or in-kind contributions. At this point, the committee is considered “qualified” and is assessed a \$50 annual filing fee. PRD does not assess the \$50 annual fee until the committee reports it has qualified. PRD receives the Form 410, reviews it for completeness and compliance with regulations and creates a committee record in AMS, generating an FPPC (filer) ID number and appropriate correspondence. If received, PRD posts and processes the \$50 payment.

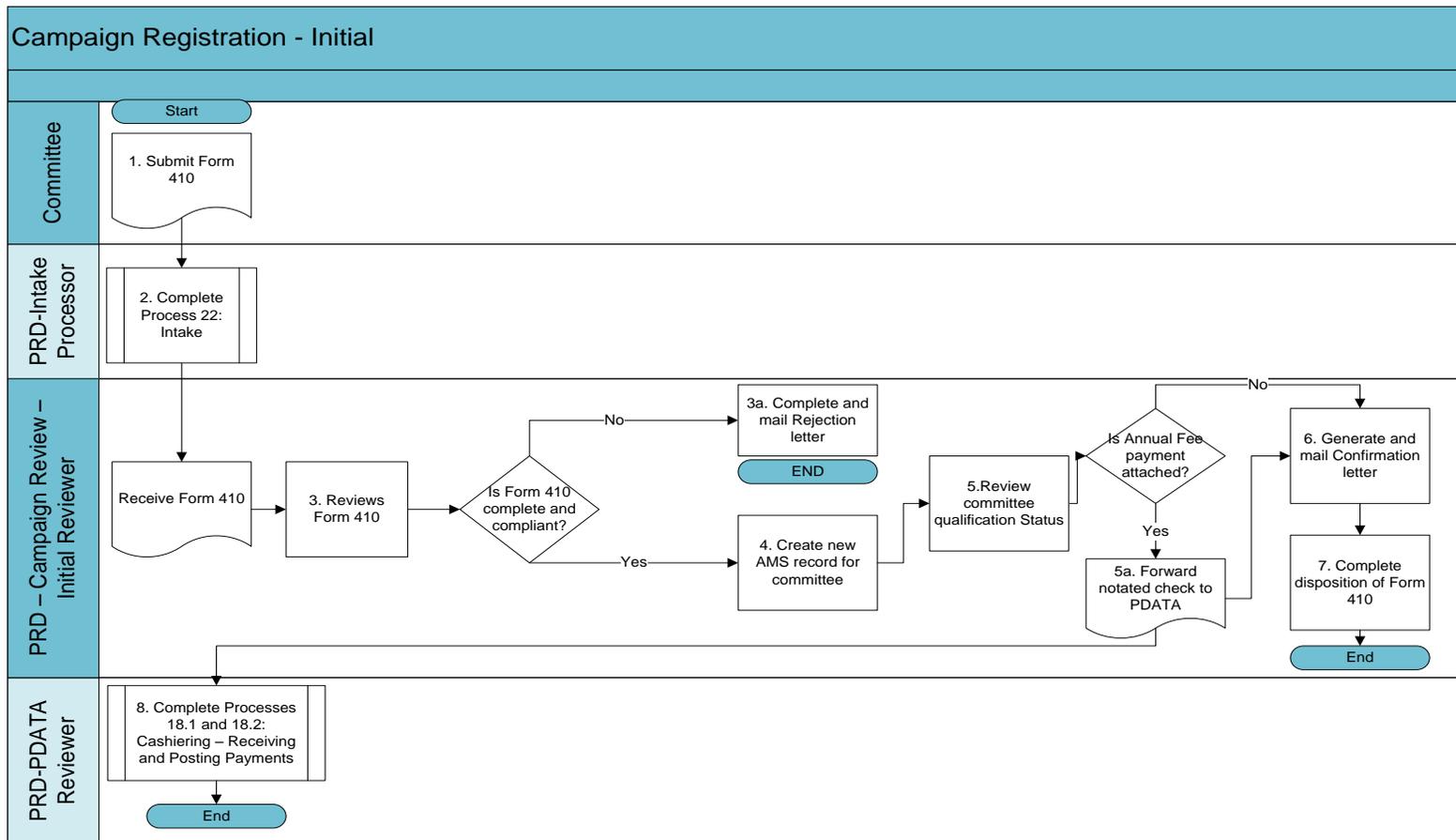
Note: A committee that has not yet qualified, but expects to do so, may also submit a Form 410 to establish a record and obtain a filer ID number.



Process Flow Diagram

The following table represents the actions taken by various individuals/entities to complete the filing and management of a Form 410 Statement of Organization.

Figure 2: Process 1.2 Campaign Registration - Initial





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> A Recipient Committee has been formed and is required to meet registration and filing responsibilities 	
Step 1: Committee	Submit Form 410 <ul style="list-style-type: none"> Download the Form 410 from the PRD Website Complete and sign the form and submits it to PRD via regular mail or in person If reporting to satisfy the 24 hour reporting requirement, the form may be faxed; however, the original must be received within 24 hours via overnight mail or personal delivery
Step 2: PRD – Intake Processor	Complete Process 22: Intake <ul style="list-style-type: none"> Receive the submitted Form 410 Perform tasks detailed in Process #22 Intake (Receipt of Documents) The Form 410 and payment (if included) are forwarded to PRD - Campaign Registration – Initial Reviewer
Step 3: PRD - Campaign Registration – Initial Reviewer	Review Form 410 for completeness and compliance <ul style="list-style-type: none"> This includes committees who are attempting to use a committee name that already exists in AMS Make sure all relevant pages are complete and that all required elements meet legal requirements Verify the “Date qualified as committee” and the Financial Institution have been listed if the Committee is qualified <ul style="list-style-type: none"> Note: The requirement to list a Financial Institution applies when cash contributions are equal to or greater than \$2,000; if contributions are only in-kind, then a Financial Institution is not required If Form 410 is incomplete, go to Step 3a If Form 410 is complete, go to Step 4
Step 3a: PRD - Campaign Registration – Initial Reviewer	Complete and mail Rejection Letter <ul style="list-style-type: none"> Complete the SOS NOTICE OF REJECTION Statement of Organization (Form 410). This is a manual letter, not generated by AMS Identify all items on the Form 410 requiring correction. Typically, PRD only rejects the Form 410 when there are one (1) or more “major” corrections needed Photocopy the Notice of Rejection form and the Form 410 In the shared drive, navigate to the 410 Rejection List and log the Notice of Rejection Mail the original Notice of Rejection along with all other submitted documents (including check, if applicable) back to the committee File the copies of the Notice of Rejection and Form 410 alphabetically in the “410 Reject” drawer
Step 4: PRD - Campaign Registration – Initial Reviewer	Create new AMS record for committee <ul style="list-style-type: none"> Enter the information from the Form 410 into AMS Set the Review status to “Complete”



STEPS/ACTORS	DIRECTION
Step 5: PRD - Campaign Registration – Initial Reviewer	Review committee qualification status <ul style="list-style-type: none"> Verify the committee has indicated on the Form 410 whether or not it is qualified by entering either a qualification date or checking the “Not yet qualified” box If \$50 Annual Fee payment is enclosed, make appropriate notations on the face of the check
Step 5a: PRD - Campaign Registration – Initial Reviewer	Forward notated check to PDATA <ul style="list-style-type: none"> Place the notated check in the daily file for PDATA Go to Step 8
Step 6: PRD - Campaign Registration – Initial Reviewer	Generate and mail Confirmation letter <ul style="list-style-type: none"> In AMS, generate and print the Confirmation letter If this is a state committee, ensure the ID# and password for Cal-Online/CAL-ACCESS is included <ul style="list-style-type: none"> When saving the letter in AMS, ensure the password is redacted For local committees, the password is not included in the letter Mail the letter to the committee If a self-addressed stamped envelope (SASE) was included with the Form 410, mail the second copy (if submitted) or a photocopy of the Form 410 to the committee
Step 7: PRD - Campaign Registration – Initial Reviewer	Complete disposition of Form 410 <ul style="list-style-type: none"> Photocopy the original processed Form 410 and place the photocopy in the Initial 410 basket in the Public Area. The copy will be scanned and saved in the F410 shared directory for copy and address requests. The paper copy will be copied and sent to vendors and other agencies, and then placed in the County Basket where it will be mailed to the appropriate County File the original Form 410 in the appropriate “410” drawer If the committee has resubmitted a Rejected Form 410 and has included the Notice of Rejection letter, write the ID number on the Notice of Rejection Letter and forward to the PT-II to update the 410 Reject Log
Step 8: PRD-PDATA Reviewer	Complete Processes 18.1 and 18.2: Cashiering – Receiving and Posting Payments <ul style="list-style-type: none"> Perform tasks detailed in Processes 18.1 and 18.2: Cashiering Receiving and Posting Payments

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> A Recipient committee is required to file a paper Form 410 – Statement of Organization, Recipient Committee within 10 days of “qualifying” or receiving \$2,000 in contributions (cash or in-kind) <ul style="list-style-type: none"> A committee may also file prior to receiving \$2,000 in contributions before qualifying



PROCESS NARRATIVE																
Frequency	<p>Peak processing time for initial Form 410s occurs during election years, just prior to the Primary and General Elections.</p> <p>The following table represents the Form 410s processed during 2014 (an election year) and 2015 (a non-election year).</p> <table border="1"> <thead> <tr> <th></th> <th>2014 Completed</th> <th>2014 Rejected</th> <th>2015 Completed</th> <th>2015 Rejected</th> </tr> </thead> <tbody> <tr> <td>Jan-Jun</td> <td>1575</td> <td>579</td> <td>643</td> <td>232</td> </tr> <tr> <td>Jul-Dec</td> <td>2099</td> <td>998</td> <td>1009</td> <td>423</td> </tr> </tbody> </table>		2014 Completed	2014 Rejected	2015 Completed	2015 Rejected	Jan-Jun	1575	579	643	232	Jul-Dec	2099	998	1009	423
	2014 Completed	2014 Rejected	2015 Completed	2015 Rejected												
Jan-Jun	1575	579	643	232												
Jul-Dec	2099	998	1009	423												
Actors	<ul style="list-style-type: none"> • Committee Representative (typically the Treasurer) submitting the form • PRD staff <ul style="list-style-type: none"> ○ Intake Processor ○ Campaign Registration – Initial Reviewer ○ PDATA Reviewer 															
Inputs	<ul style="list-style-type: none"> • Form 410 • Annual Fee Payment 															
Outputs	<ul style="list-style-type: none"> • Notice of Rejection Letter • Confirmation Letter • Rejection letter log on shared drive (Excel document) 															
Regulations/Policies	<p>Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).</p>															
Constraints	<ul style="list-style-type: none"> • The actual Form 410 must be submitted to PRD with appropriate original “wet” signatures • If the 24-hour duty to file applies, the Form 410 may be submitted via fax; however, the original signed Form 410 must be submitted by overnight delivery or in person <ul style="list-style-type: none"> ○ The actual filing date is the date PRD receives the original Form 410. An AMS record may be created for the committee based on the faxed document (if it is correct and compliant), and placed in suspense pending receipt of the original Form 410 															
Issues	<ul style="list-style-type: none"> • The Notice of Rejection letter is generated outside of the AMS system • Tracking of the Notice of Rejection letter is also done outside of the AMS system, using a spreadsheet on the shared drive • Considerable time is spent photocopying the Form 410, where scanning, storing and linking to the image may be more efficient. This could also reduce the amount of time filing documents 															
Current Technology	<ul style="list-style-type: none"> • AMS for PRD data entry • Shared Drive (contains template for Notice of Rejection letter and 410 Reject list) 															
Sub-Processes	<ul style="list-style-type: none"> • Slate Mailer Organization Form 400 processing • 410’s for Primarily Formed Committees (PFCs) are forwarded to the Ballot Measure Linking Desk for processing 															



PROCESS NARRATIVE	
Workarounds	When entering data for an initial Form 400 (Slate Mailer Organization), the data is entered into a box different from the initial 410s. After the FPPC# is issued, PRD must go back into AMS and add/link the treasurer and filing information in a separate process.
Exceptions	No exceptions identified.

III.1.3 Campaign Registration – Amendments

Purpose

This process describes the activities and actions that occur when a committee reports changes via submission of a Form 410 – Statement of Organization.

Process Description

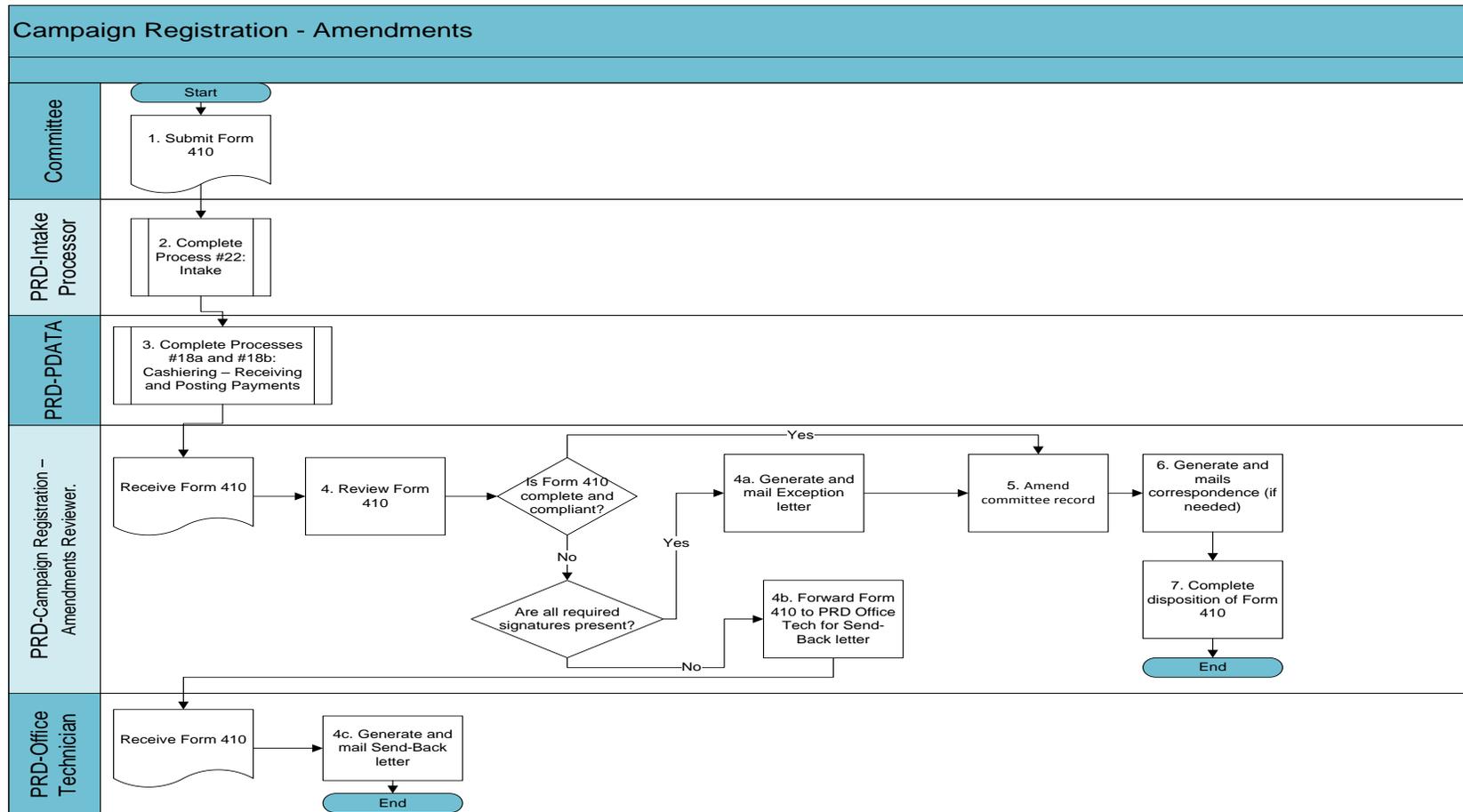
Committees are required to report changes by filing an amended Form 410 with the Secretary of State and local filing officer (if required). The amended Form 410 must typically be filed within 10 days of a change occurrence; however, during the period 16 days before an election, the amended Form 410 must meet 24 hour reporting duty filing requirements. Upon receipt of the Form 410, PRD reviews the committee record (including compliance with filing and fee payment responsibilities) and updates the information in AMS. PRD generates and mails correspondence to the committee as appropriate.



Process Flow Diagram

The following diagram represents the actions taken by various individuals/entities to complete the filing and management of a Form 410 Statement of Organization when submitted to amend a committee record.

Figure 3: Process 1.3 Campaign Registration - Amendments





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> A committee has formed for the purpose of supporting or opposing a candidate(s), officeholder(s), or ballot measure(s) A committee record exists in AMS based on the Initial Form 410 – Statement of Organization 	
Step 1: Committee	Submit Form 410 <ul style="list-style-type: none"> Download the Form 410 from the Secretary of State (SOS) Political Reform Website Complete and sign the form and submits it to the SOS via regular mail or in person If reporting to satisfy the 24-hour reporting requirement the filer may fax the form; however, PRD must receive the original within 24 hours via Overnight mail or personal delivery
Step 2: PRD – Intake Processor	Complete Process 22: Intake <ul style="list-style-type: none"> Receive the submitted form Perform tasks detailed in Process 22 Intake (Receipt of Documents) If payment is included, forward the Form 410 and payment to the PDATA Reviewer and go to Step 3 If payment is not included, forward the Form 410 to the Amendments Reviewer and go to Step 4
Step 3: PRD-PDATA Reviewer	Complete Processes 18.1 and 18.2: Cashiering – Receiving and Posting Payments <ul style="list-style-type: none"> Perform tasks detailed in Processes 18.1 and 18.2: Cashiering – Receiving and Posting Payments Forward Form 410 to the Campaign Registration – Amendments Reviewer
Step 4: PRD – Campaign Registration – Amendments Reviewer	Review Form 410 <ul style="list-style-type: none"> Receive the form from PDATA or Intake, as appropriate Retrieve all filed Form 410s for comparison with new Form 410 Make sure all relevant pages are complete and that all required elements meet legal requirements Verify the “Date qualified as committee” and the Financial Institution have been listed if the Committee is qualified <ul style="list-style-type: none"> Note: The requirement to list a Financial Institution applies when cash contributions are equal to or greater than \$2,000; if contributions are only in-kind, then a Financial Institution is not required If one or more signatures are missing, forward the Form 410 to the Office Tech and go to Step 5 Otherwise, go to Step 6
Step 5: PRD – Campaign Registration – Amendments Reviewer	Forward Form 410 to PRD Office Tech for Send-Back Letter Go to Step 5c.
Step 5a: PRD – Office Tech	Generate and mail Send-Back letter Refer to the Send-Back letter sub-process.
Step 6: PRD- Campaign Registration –	Amend Committee Record <ul style="list-style-type: none"> Enter the amended information into AMS, making sure the dates are



STEPS/ACTORS	DIRECTION
Amendments Reviewer	accurate <ul style="list-style-type: none"> ○ If sending an Exception letter to the committee, update the AMS record with correct changes shown on the form ○ If sending Send-Back letter to the committee for missing signatures, do not update the AMS record <ul style="list-style-type: none"> ● Set the Review to “Complete” ● If the Form 410 is incomplete, but contains signatures, go to Step 6a <ul style="list-style-type: none"> ○ Note: amend the committee record to ensure the address is updated prior to generation of correspondence ● If the Form 410 is complete, and requires a “New Treasurer” letter, to Step 7; otherwise go to Step 8
Step 6a: PRD – Campaign Registration – Amendments Reviewer	Generate and mail Exception Letter <ul style="list-style-type: none"> ● Using AMS Tape S1, generate the Exception letter ● Identify all items on the Form 410 requiring correction ● Mail the Exception letter to the committee <ul style="list-style-type: none"> ○ If generating the Exception letter because one of two required signatures is missing, then photocopy the Form 410 and mail with the Exception letter
Step 7: PRD- Campaign Registration – Amendments Reviewer	Generate and mail correspondence (if needed) <ul style="list-style-type: none"> ● Generate a “New Treasurer” letter from the shared drive if the amended Form 410 includes a change of Treasurer ● Mail the letter to the committee
Step 8: PRD- Campaign Registration – Amendments Reviewer	Complete disposition of Form 410 <ul style="list-style-type: none"> ● If the Form 410 includes a new Date of Qualification: <ul style="list-style-type: none"> ○ Forward the Form 410 to PDATA for completion of the Compliance review ● Otherwise, file all Form 410s for this Committee in the Active 410 file drawer

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> ● A committee must file an amended paper Form 410 within 10 days of a change of any information previously reported <ul style="list-style-type: none"> ○ During the 16 days prior to an election, a committee is required to report changes within 24 hours
Frequency	<ul style="list-style-type: none"> ● Peak processing time for Amendments occurs during election years, especially prior to primary and general election dates and around filing deadlines ● PRD processes between 300-700 amendments per month
Actors	<ul style="list-style-type: none"> ● Committee Representative (typically the Treasurer) submitting the form ● PRD staff <ul style="list-style-type: none"> ○ Intake Processor ○ PDATA Reviewer ○ Campaign Registration – Amendments Reviewer



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> ○ Office Technician
Inputs	<ul style="list-style-type: none"> • Form 410 – Statement of Organization • Check / Payment (sometimes)
Outputs	<ul style="list-style-type: none"> • Send-Back Letter • Exception Letter • New Treasurer Letter
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	<ul style="list-style-type: none"> • The actual Form 410 must contain appropriate original “wet” signatures • If the 24-hour duty to file applies, the committee may submit the Form 410 via fax; however, the committee must submit the original signed Form 410 via overnight delivery or in person <ul style="list-style-type: none"> ○ The actual filing date is the date PRD receives the original Form 410. An AMS record may be created for the committee based on the faxed document (if it is correct and compliant), and placed in suspense pending receipt of the original Form 410
Issues	<ul style="list-style-type: none"> • PRD generates the New Treasurer letter outside of the AMS system • PRD spends considerable time photocopying the Form 410, where scanning, storing and linking to the image may be more efficient. This could also reduce the amount of time filing documents
Current Technology	<ul style="list-style-type: none"> • AMS for PRD data entry • Shared Drive (contains template for New Treasurer letter)
Sub-Processes	<ul style="list-style-type: none"> • Slate Mailer Organization Form 400 processing • Combination Initial/Amendment/Termination • Send-back letter
Workarounds	Qualification Date Change – workaround needed because AMS will assess a duplicate Annual Fee. PDATA must reverse this fee from AMS.
Exceptions	No exceptions identified.

III.1.4 Campaign Registration - Terminations

Purpose

This process describes the activities and actions that occur when a committee has met the required criteria and submits a Form 410 – Statement of Organization for termination.

Process Description

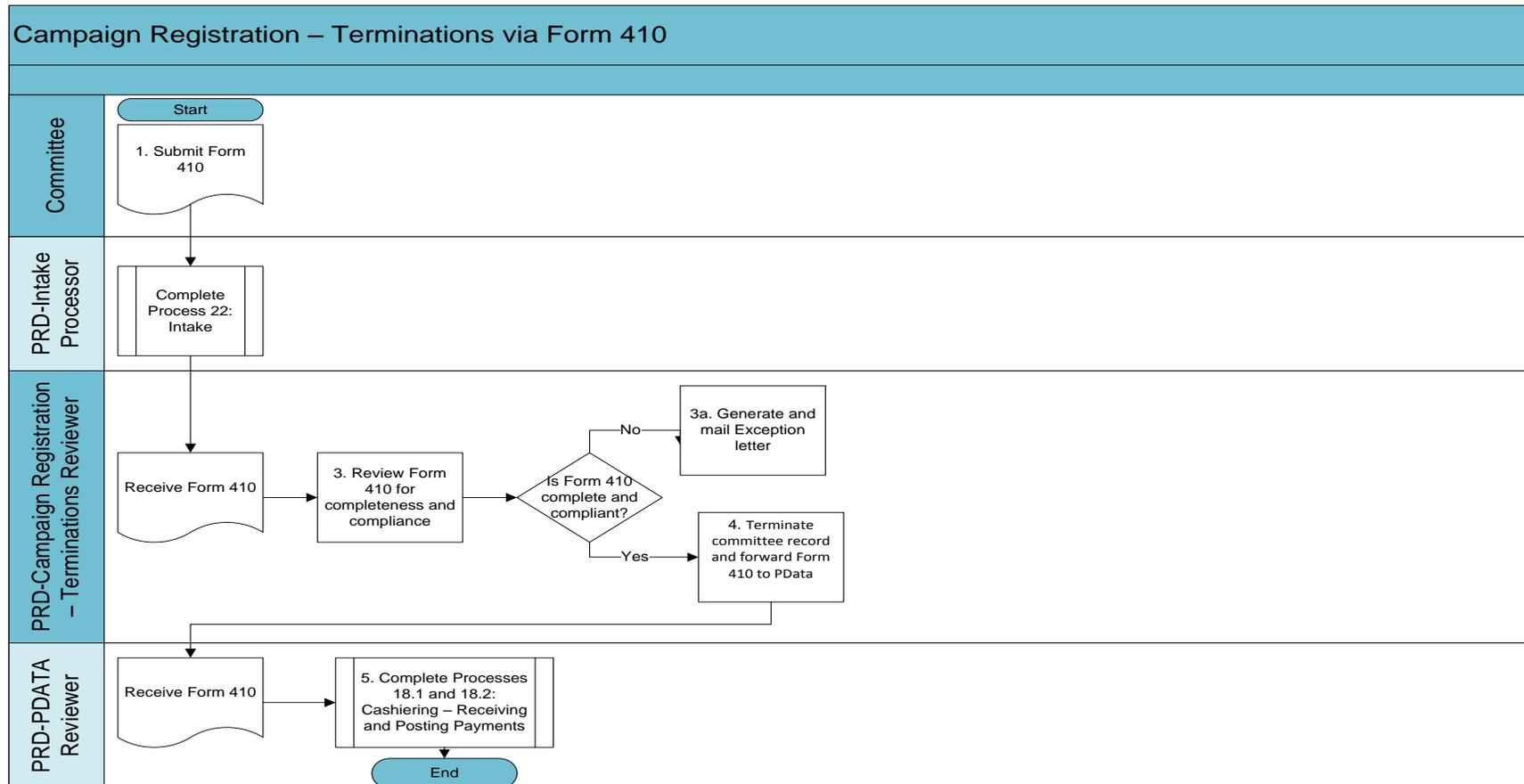
Committees remain active until they meet the required criteria to terminate. Upon receipt of a Form 410 informing that the committee has terminated, PRD reviews the committee record (including compliance with filing and fee payment responsibilities) and performs the termination in AMS. There is no correspondence generated with this process.



Process Flow Diagram

The following table represents the actions taken by various individuals/entities to complete the filing and management of a Form 410 Statement of Organization submitted to terminate a committee.

Figure 4: Process 1.4 Campaign Registration – Terminations





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • A committee has formed for the purpose of supporting or opposing a candidate(s), officeholder(s), or ballot measure(s) • A committee record exists in AMS based on the Initial Form 410 – Statement of Organization 	
Step 1: Committee	Submit Form 410 <ul style="list-style-type: none"> • Download the Form 410 from the Secretary of State (SOS) Political Reform Website • Complete and sign the form and submits it to the SOS via regular mail or in person
Step 2: PRD – Intake Processor	Complete Process 22: Intake <ul style="list-style-type: none"> • Receive the submitted form • Perform tasks detailed in Process 22 Intake (Receipt of Documents) <ul style="list-style-type: none"> ○ Forward the Form 410 to PRD – Campaign Registration - Terminations Reviewer ○ If a payment is received, forward it to PDATA for posting in AMS
Step 3: PRD – Campaign Registration – Terminations Reviewer	Review Form 410 for completeness and compliance <ul style="list-style-type: none"> • Receive the form from PRD - Intake • Retrieve all filed Form 410s for comparison with new Form 410 • Ensure that, at a minimum, Page 1 of the Form 410 is submitted, containing both the termination date and appropriate signatures • If Form 410 is incomplete, go to Step 3a • If Form 410 is complete, go to Step 4
Step 3a: PRD – Campaign Registration – Terminations Reviewer	Generate and mail Exception Letter <ul style="list-style-type: none"> • Make a copy of the Form 410 and highlight the areas that need correction • In AMS, generate an Exception letter using the S2 Tape template, indicating all corrections needed on the form • Set the Review status to “Incomplete” • Mail the Exception letter and copy of the Form 410 to the committee
Step 4: PRD – Campaign Registration – Terminations Reviewer	Terminate committee record and forward Form 410 to PDATA <ul style="list-style-type: none"> • Enter the correct amended information into AMS (if any) • Enter the termination into AMS • Set the Review status to “Complete” • Forward the Form 410 to PRD – PDATA Reviewer
Step 5: PRD-PDATA Reviewer	Complete Processes 18.1 and 18.2: Cashiering – Receiving and Posting Payments <ul style="list-style-type: none"> • Receive the submitted form • Perform tasks detailed in Processes #18.1 and #18.2: Cashiering Receiving and Posting Payments • File the Form 410 in the appropriate drawer



Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	An active committee has met the termination criteria and has submitted a paper Form 410 containing the termination and effective date.
Frequency	<ul style="list-style-type: none"> • Peak processing time for Terminations occurs around the semiannual filing deadlines, especially near the January 15th Annual Fee due date • PRD processes between 100-500 terminations per month, depending on the time of year
Actors	<ul style="list-style-type: none"> • Committee Representative (typically the Treasurer) submitting the form • PRD staff <ul style="list-style-type: none"> ○ Intake Processor ○ Campaign Registration – Terminations Reviewer ○ PDATA Reviewer
Inputs	<ul style="list-style-type: none"> • Form 410 – Statement of Organization • Check/ Payment
Outputs	Exception Letter.
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints identified.
Issues	No issues identified.
Current Technology	AMS for PRD data entry.
Sub-Processes	<ul style="list-style-type: none"> • Administrative terminations • Slate Mailer Organization terminations • Terminations combined with an Initial or Amended Form 410 • Termination for unregistered committees
Workarounds	<ul style="list-style-type: none"> • Adding new qualification date – AMS dates and data must be manipulated to complete this action • Termination prior to Initial filing date – PRD may need to amend existing dates in AMS to accommodate the correct Date of Termination
Exceptions	No exceptions identified.



III.1.5 Campaign Registration – Major Donors

Purpose

This process describes the activities and actions that occur when a Major Donor (an individual or entity) submits a paper Form 461: Major Donor and Independent Expenditure Committee Campaign Statement.

Process Description

A Major Donor (individual or entity) must submit a paper Form 461 once it has made monetary/non-monetary contribution(s) to state or local officeholders, candidates, and committees totaling \$10,000 or more in a calendar year, or spent \$1,000 in Independent Expenditures (IE) in a calendar year. If the contribution(s) equal or exceed \$25,000, the Major Donor has an additional requirement to file this information online (via Cal-Online) or electronically (via file upload submitted by a third-party vendor), as well as submitting a paper Form 461.

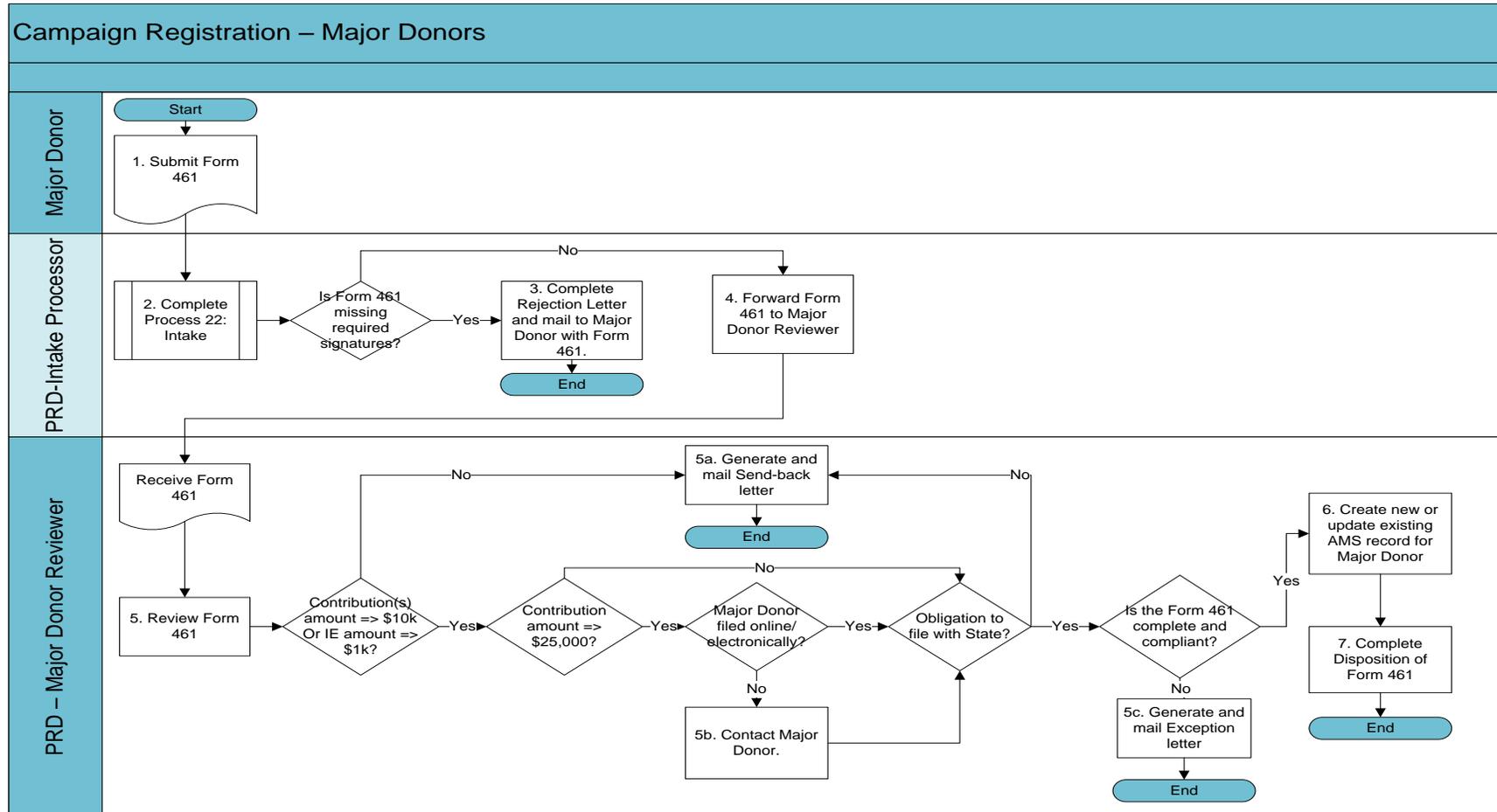
Upon receipt, PRD reviews the completed Form 461 for specific criteria including the total contribution amount, appropriate completion of an online/electronic filing, and the requirement of the Major Donor to file with the State versus only filing at the local level. PRD creates or updates an AMS record and generates appropriate correspondence. There is no termination process for Major Donors.



Process Flow Diagram

The following table represents the actions taken by various individuals/entities to complete the filing and management of a Form 461 Major Donor and Independent Expenditure Committee Campaign Statement.

Figure 5: Process 1.5 Campaign Registration – Major Donors





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • A Major Donor has made monetary or nonmonetary contribution(s) in a calendar year totaling \$10,000 • A Major Donor has made cumulative IE(s) for a single candidate or measure in a calendar year totaling \$1,000 • A Major Donor who is required to file online has obtained a user login and password 	
Step 1: Major Donor	Submit Form 461 <ul style="list-style-type: none"> • Download the Form 461 from the PRD Website • Complete and sign the form and submits it to PRD via regular mail or in person • If contribution(s) equal or exceed \$25,000, the Major Donor must also file the Form 461 online or electronically
Step 2: PRD – Intake Processor	Complete Process #22: Intake <ul style="list-style-type: none"> • Receive the submitted form • Perform tasks detailed in Process #22: Intake (Receipt of Documents) • If Form 461 is missing required signatures, go to Step 3
Step 3: PRD – Intake Processor	Complete Rejection Letter and mail to Major Donor with Form 461 If the Form 461 does not contain an original “wet” signature, complete Rejection Letter and mail with the submitted Form 461 to the Major Donor.
Step 4: PRD – Major Donor Reviewer	Forward Form 461 to Major Donor Reviewer If Form 461 contains required signatures, forward it to the Major Donor Reviewer.
Step 5: PRD – Major Donor Reviewer	Review Form 461 <ul style="list-style-type: none"> • If contribution(s) total less than \$10,000 or IE(s) are less than \$1,000 and/or the Major Donor is not required to file at the state level, then go to Step 5a • If contribution(s) are \$25,000 or more and AMS shows the Major Donor has not yet filed online/electronically, then go to Step 5b • If the Form 461 is incomplete or not compliant and information cannot be resolved by phone, then go to Step 5c • Otherwise, go to Step 6
Step 5a: PRD – Major Donor Reviewer	Generate and mail Send-back letter If contribution(s) are less than \$10,000 or IE(s) are less than \$1,000 and/or the Major Donor is not required to file at the state level <ul style="list-style-type: none"> • Using AMS Tape K, generate Send-back letter informing that filing is not required at the state level, but rather at the local or federal level • Scan Form 461 and store image on shared drive • Log the Form 461 on Send-back log (Excel spreadsheet) on shared drive and link to scanned image • Mail letter to Major Donor
Step 5b: PRD – Major Donor Reviewer	Contact Major Donor <ul style="list-style-type: none"> • Place courtesy call to the Major Donor and advise of requirement to file online • Photocopy the coversheet and notate in red ink “E-file required” <ul style="list-style-type: none"> ○ File in Fine Desk cabinet for tracking



STEPS/ACTORS	DIRECTION
Step 5: PRD – Major Donor Reviewer	Generate and mail Exception letter <ul style="list-style-type: none"> • If the Form 461 is otherwise incomplete <ul style="list-style-type: none"> ○ Using AMS Tape B, generate and mail Exception letter
Step 6: PRD – Major Donor Reviewer	Create new or update existing AMS record for Major Donor <ul style="list-style-type: none"> • Enter the information from the Form 461 into AMS • Set the Review status to “Complete” • If Form 461 received by filing deadline and no fines are due, change Fine Audit status to “Complete” • If fines are due, leave Fine Audit status as “Needs Review” <ul style="list-style-type: none"> ○ File the Form 461 in the Fine Desk cabinet for tracking
Step 7: PRD – Major Donor Reviewer	Complete Disposition of Form 461 <ul style="list-style-type: none"> • Photocopy the Form 461, if needed • File the original Form 461 in the Major Donors file cabinet <ul style="list-style-type: none"> ○ Create a new Major Donor file folder, if needed • File the photocopy in the Public Area • If a self-addressed stamped envelope (SASE) was included with the Form 461, mail the third copy (if submitted) or a photocopy of the Form 461 to the Major Donor

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	A Major Donor has met the reporting criteria and has submitted a paper Form 461: Major Donor and Independent Expenditure Committee Campaign Statement. If the contribution(s) equal or exceed \$25,000, the Major Donor must also report this via Cal-Online.
Frequency	<p>Major Donors may be subject to Semi-Annual Reporting, except during an odd-numbered year when they may be required to report Quarterly.</p> <p>Peak processing periods occur during and 1-2 months after the filing month, with a greater volume received during an election year.</p> <p>Average number of Form 461’s processed during the peak processing periods: approximately 600.</p>
Actors	<ul style="list-style-type: none"> • Major Donor • PRD staff <ul style="list-style-type: none"> ○ Intake Processor ○ PRD – Major Donor Reviewer
Inputs	<ul style="list-style-type: none"> • Form 461 (paper filing) • Online or electronic filing if contribution(s) total is equal to or greater than \$25,000
Outputs	<ul style="list-style-type: none"> • Send-back letter • Major Donor Send-back letter log entry • Exception letter



PROCESS NARRATIVE

Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints identified.
Issues	No issues identified.
Current Technology	<ul style="list-style-type: none">• AMS for PRD data entry• Cal-Online for Major Donor online and electronic filings• Shared Drive for Major Donor Send-back letter log (Excel document with links to file)
Sub-Processes	<ul style="list-style-type: none">• Review of Form 496: 24-hour Independent Expenditure Report Instructions• Review of Form 497: 24-hour Contribution Report Instructions
Workarounds	No workarounds identified.
Exceptions	No exceptions identified.



III.2 Process 2: Lobbying – Registration

Purpose

The Political Reform Act mandates that lobbying activities are formally regulated and related finances disclosed to prevent improper influence being exerted on public officials.

Process Description

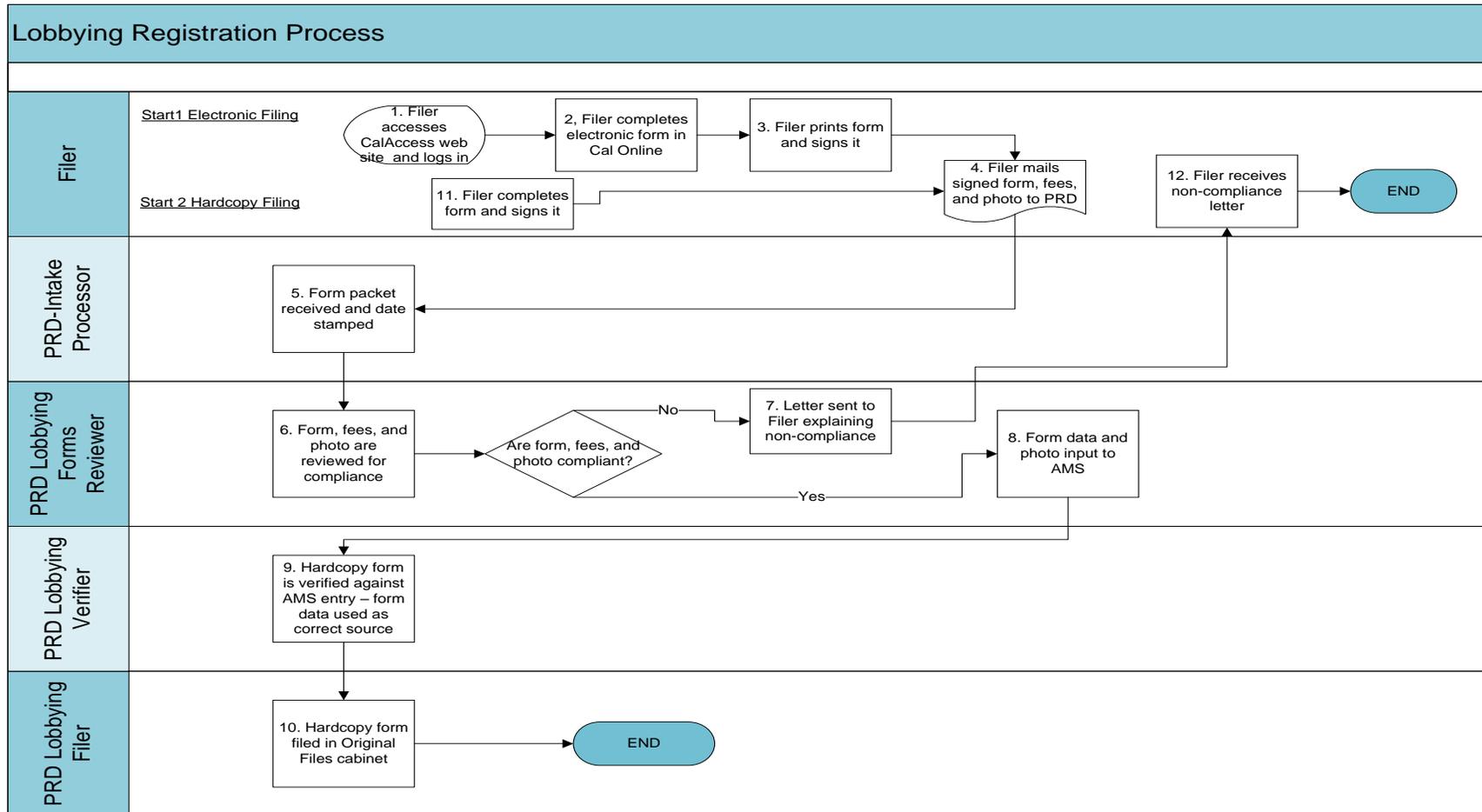
One of the primary business responsibilities of the PRD is administering the lobbying registration process for the State of California. Under the Political Reform Act (PRA), lobbyists, lobbying firms, lobbying employers or persons (Gov. Code Section 86115 (b)) who arrange, make, receive or are entitled to receive payments for the purpose of influencing legislative or administrative actions must disclose specified information. Lobbying entities file the appropriate forms and attachments (including photographs) with the PRD as mandated by the PRA.



Process Flow Diagram

The following table represents the actions taken by various individuals/entities to complete the Lobbying Registration process.

Figure 6: Process 2 Lobbying Registration





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • If filing electronically, filer has obtained a User ID and Password • If filing electronically, this is done voluntarily or the filer has been qualified to file electronically 	
Step 1: Filer	Electronic Filing: Filer accesses Cal Access web site <ul style="list-style-type: none"> • Filer accesses the Cal Access web site • Filer selects the “For Filers Only” navigation button • Filer inputs User ID and password
Step 2: Filer	Filer completes electronic form <ul style="list-style-type: none"> • Filer completes the electronic Form and “submits” it to the Cal Online system
Step 3: Filer	Filer prints form and signs it <ul style="list-style-type: none"> • Filer prints the successfully submitted Form and signs it
Step 4: Filer	Filer mails form, fees, and photo <ul style="list-style-type: none"> • Filer mails Form, fee and photo to PRD
Step 5: PRD – Intake Processor	Form packet received <ul style="list-style-type: none"> • Receive the submitted Form packet and perform tasks detailed in Process #22 Intake (Receipt of Documents) • Form packet routed to PRD Lobbying Forms Reviewer
Step 6: PRD Lobbying Forms Reviewer	Form, fees, and photo reviewed for compliance <ul style="list-style-type: none"> • Reviews Form, fee, and photo for compliance • If Form, fees, and/or photo are not compliant then go to Step 7 • If Form, fees, and/or photo are compliant then go to Step 8
Step 7: PRD Lobbying Forms Reviewer	Letter sent to Filer <ul style="list-style-type: none"> • Sends a letter to Filer explaining the non-complaint items • Go to Step 12
Step 8: PRD Lobbying Forms Reviewer	Form data and photo are input <ul style="list-style-type: none"> • Inputs Form data to AMS application • Scans the photo and uploads a digital image to AMS
Step 9: PRD Lobbying Verifier	Hardcopy form is manually compared to AMS entry <ul style="list-style-type: none"> • Manually compares the hardcopy Form to the AMS entry to ensure data accuracy and compliance; if the AMS entry does not match, the Form data is used to amend the AMS data
Step 10: PRD Lobbying Filer	Hardcopy form filed <ul style="list-style-type: none"> • Prepares the hardcopy Form for filing, and the hardcopy Form is filed in the Original Files cabinet • End of Process #2 Lobbying Registration
Step 11: Filer	Hardcopy Filing: Filer completes hardcopy forms <ul style="list-style-type: none"> • Filer completes hardcopy form(s), photos and fees • Go to Step 4



STEPS/ACTORS	DIRECTION
Step 12: Filer	Filer receives non-compliance letter <ul style="list-style-type: none"> • Filer receives the non-compliance letter; may re-file • End of Process #2 Lobbying Registration

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> • Filer mails signed form(s), fees, and photo(s) to PRD
Frequency	<ul style="list-style-type: none"> • Filers initial registrations should be done within 10 days of them receiving lobbying financing • Filers submit renewal registrations every even numbered year between 11/1 and 12/31 • PRD staff estimate there are: 400 Lobbying Firms; 4,000 Lobbying Firms employees; 2,100 Lobbyists; 6,500 registration forms annually; 13,000 Amendments; and 800 Withdrawals and Terminations
Actors	<ul style="list-style-type: none"> • Lobbying entities • SOS Mail Room • PRD Intake Processor • PRD Lobbying Forms Reviewer • PRD Lobbying Verifier • PRD Lobbying Filer
Inputs	<ul style="list-style-type: none"> • The lobbying registration form set: 601; 602; 603; 604; 605; 606; 607; Lobbying photographs hardcopy submissions
Outputs	<ul style="list-style-type: none"> • PRD staff input compliant Lobbying registration information into the AMS application, and it is then available for inquiry on the SOS/PRD web site • PRD staff manually processed non-compliance letters • Information is available for creation of the Lobbying Directory PDF display • The registration and Lobbying forms data is used to generate changes to the Change Log
Regulations/Policies	<ul style="list-style-type: none"> • Political Reform Act (Gov. Code Section 86115 (b)) • FPPC Form completion instructions • FPPC Lobbying Manual
Constraints	<ul style="list-style-type: none"> • Political Reform Act • Form completion instructions • FPPC Lobbying Manual
Issues	<ul style="list-style-type: none"> • The “wet signature” requirement has caused most of the lobbying registration processes to be manually based, such as: forms data validation; validating AMS forms information against the hardcopy form contents; manual hardcopy searching; manual prevention of duplicate filings • The automated applications do not provide enough process



PROCESS NARRATIVE	
	<p>support; it is easy to overwrite data and delete data. The applications are also slow and not process or user friendly</p> <ul style="list-style-type: none"> • The AMS application does not accept, and CAL-ACCESS does not display. Multiple links between two lobbying entities within one session resulting in the history not being retained • Foreign Addresses cannot be accommodated. The AMS application address and telephone/fax number fields were designed to accommodate the US format only. Beginning January 1, 2011 entities outside the US were required to register with PRD and the PRA requires lobbying entities to provide their business addresses and telephone numbers
Current Technology	<ul style="list-style-type: none"> • Mainly manual forms processing, filing, and data entry of forms information • AMS application for Forms management in PRD • Cal Online for online forms submission by Lobbying Filers • Scanner for PRD photographs electronic capture • Adobe Photoshop for PRD photo manipulation to prepare a correctly sized digital image for submission to AMS
Sub-Processes	<ul style="list-style-type: none"> • Cal Online system for Filer completion of the electronic Form and electronic storage • Filer prints Form, signs it, and mails it with photo to PRD • PRD inputs Form data and photo to AMS application • PRD manually compares the hardcopy Form to the AMS entry to ensure data accuracy and compliance; if the AMS entry does not match, the Form data is used to amend the AMS data
Workarounds	<ul style="list-style-type: none"> • PRD's lobbying registration staff have devised several solutions to resolve the AMS and multiple links between two lobbying entities within one session problem during the reregistration period and routine processing of registration after the renewal period <ul style="list-style-type: none"> ○ Workaround #1 (Directory) – compare all 602's filed on behalf of the client, call highest ranking responsible office for clarification, make changes in pencil on all 602, note date, name & tile of person you spoke with and your initials on all 602 ○ Workaround #2 (Directory) - First person to key a Form 602 will update the filer tab and the filer record tab (add the 602 filing to the record). Subsequent data entry will update the filer record and link tabs (firm only) and will NOT update the filer record tab ○ Workaround #3 (Ongoing Registration) - Do not update AMS based on the last Form 602 filed, just log the form and establish link if firm or client/employer complains the information is incorrect PRD staff requests an amendment (Form 605) • The AMS application cannot be reconfigured to accept foreign addresses and phone numbers. The PRD staff manipulates how the foreign address information is entered into the existing AMS



PROCESS NARRATIVE	
	address fields, which enables storing in AMS and display by CAL-ACCESS. The foreign phone numbers are entered in the "address 1" and "city" AMS fields, but they don't display for CAL-ACCESS inquiry
Exceptions	Between 11/1 and 12/31 of even years there is a high volume of registration Forms received from new Lobbying Filers and renewing Lobbying Filers in preparation for the new legislative session. This requires the involvement of at least 14 PRD staff to input and validate the Forms data to the AMS application so the Lobbying Directory for the new legislative session can be published as directed in the regulations.



III.3 Process 3: Form 501 – Candidate Intention Statement

Purpose

Ensure 501 Candidate Statement of Intention (501 Form) submitted by the candidate is completed in a timely and accurate manner; record completed 501 form in Cal Access; provide copies of 501 forms to Elections Division and general public upon request.

Process Description

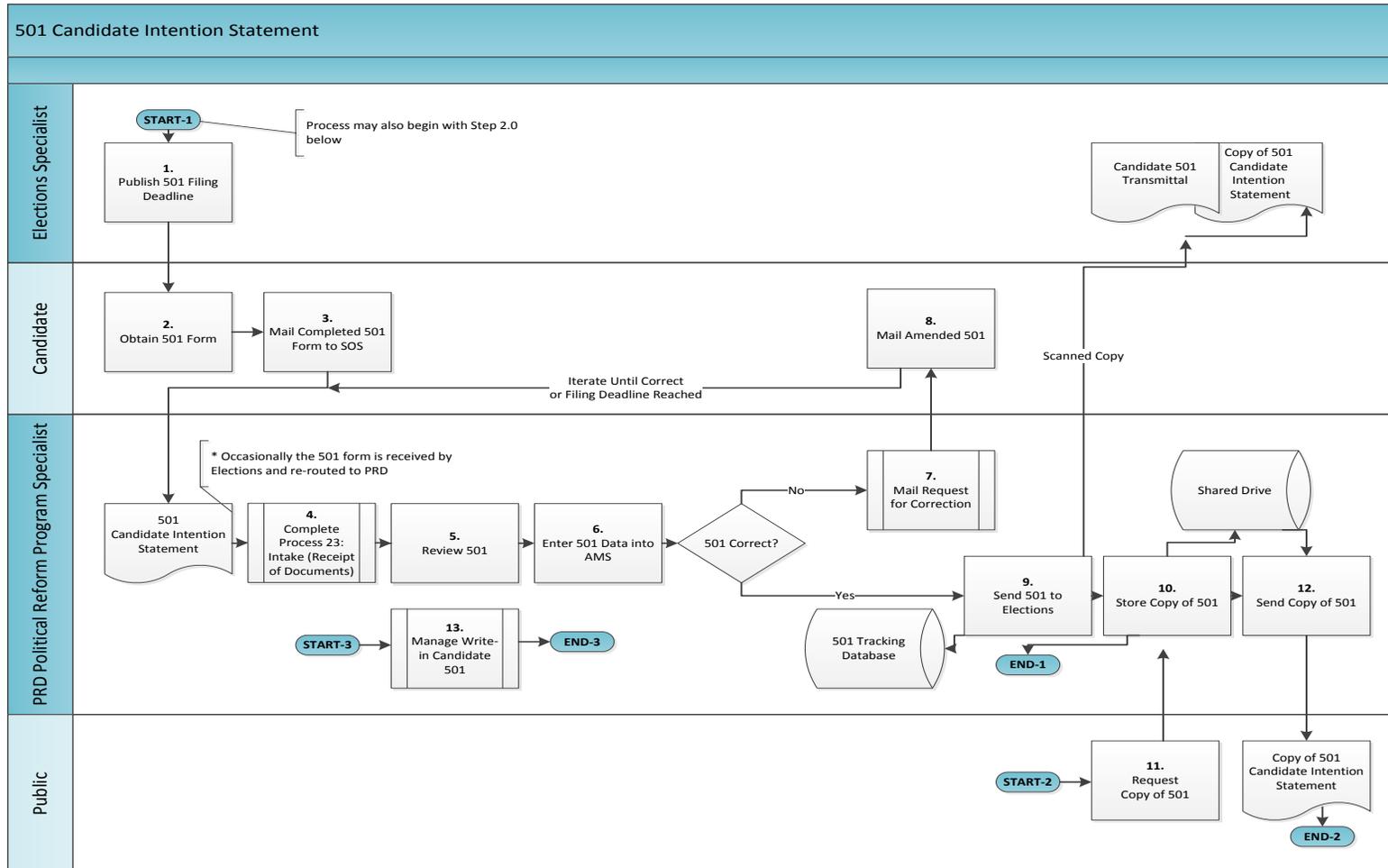
The 501 Form is available publicly on the SOS CAL-ACCESS website. Candidates download the form from the site, print it, complete and mail the printed form to SOS. Upon receipt, the PRD validates the form and if a form is incomplete or incorrect, initiates a feedback loop with the candidate to ensure the form is amended until correct. PRD enters valid 501 data into AMS and sends a scanned copy to the Elections Division. PRD also makes 501 copies available to the public on demand, including the general public and media organizations.



Process Flow Diagram

The following diagrams represent the actions taken by various individuals/entities to complete the filing and management of a Form 501 Candidate Intention Statement.

Figure 7: Process 3 Form 501 – Candidate Intention Statement





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ol style="list-style-type: none"> Form 501 is processed by PRD [On occasion the form is received by Elections and local jurisdictions and re-routed to PRD; may be partially processed by Elections prior to re-routing] Filing deadline has not passed 	
Step 1: Elections Specialist	START 1: PROCESS CANDIDATE INTENTION STATEMENT <ul style="list-style-type: none"> Publish 501 filing deadline <OR> go to Step 2
Step 2: Candidate	Obtain 501 Form <ul style="list-style-type: none"> Download 501 form from SOS Cal Access website and print it OR Obtain the form onsite from the PRD Public Desk
Step 3: Candidate	Mail Completed Form to PRD <ul style="list-style-type: none"> Complete form Mail printed form to SOS [There is no limit to the number of forms that a candidate can file. There is no date constraint on filing ahead for future elections, even many years out]
Step 4: PRD Political Reform Program Specialist	Receive Form <ul style="list-style-type: none"> Complete Process 22: Intake (Receipt of Documents) [Occasionally the form is received by Elections and local jurisdictions, then re-routed to PRD]
Step 5: PRD Political Reform Program Specialist	Review 501 <ul style="list-style-type: none"> Review 501 form for correctness and completeness
Step 6: PRD Political Reform Program Specialist	Enter 501 Data into AMS <ul style="list-style-type: none"> Enter 501 data into AMS. For candidates without a Candidate ID Number, this triggers the creation of a Candidate ID Number for use in other processes
Step 7: PRD Political Reform Program Specialist	Mail Request for Form Correction <ul style="list-style-type: none"> If form requires correction, print and mail a letter to candidate requesting form correction and resubmission. This step iterates until form is correct or filing deadline passes. May also include email and phone communication If form does not require correction, go to Step 9
Step 8: Candidate	Mail Amended 501 <ul style="list-style-type: none"> Mail printed amended 501 form to SOS
Step 9: PRD Political Reform Program Specialist	Send 501 to Elections <ul style="list-style-type: none"> Create a tracking entry in the 501 Tracking database Create and scan Candidate 501 Transmittal form Send scanned 501 Transmittal and Form 501 copies to Elections
Step 10: PRD Political Reform Program Specialist	Store Copy of 501 <ul style="list-style-type: none"> Scan 501 form Store scanned copy on shared drive File original 501 and public area copy of form END 1: PROCESS CANDIDATE INTENTION STATEMENT
Step 11: Public	START 2: REQUEST COPY OF 501 Request Copy of 501 <ul style="list-style-type: none"> Request copy of 501 form [Requests are accepted by email or in



STEPS/ACTORS	DIRECTION
	person at PRD Public Desk] <ul style="list-style-type: none"> [NOTE: This actor group includes the general public who request copies occasionally and media organizations who request copies daily]
Step 12: PRD Political Reform Program Specialist	Send Copy of 501 <ul style="list-style-type: none"> Provide copy of 501 [by mail or at Public Desk depending on request] END 2: REQUEST COPY OF 501
Step 13:	START 3: MANAGE WRITE-IN CANDIDATE Manage Write-In Candidate <ul style="list-style-type: none"> Manage write-in candidate END 3: MANAGE WRITE-IN CANDIDATE

Process Step/Action Table - Additional

STEPS/ACTORS	DIRECTION
Assumptions: None	
Step 14: Elections Specialist	START 4: PROCESS CERTIFIED LIST OF CANDIDATES Publish Certified List of Candidates <ul style="list-style-type: none"> Publish Certified List of Candidates Send to PRD Political Reform Specialist
Step 15: PRD Political Reform Program Specialist	Reconcile Candidate data with AMS <ul style="list-style-type: none"> Reconcile against 'Certified' data in AMS Update AMS Go to Step 20
Step 16: Elections Specialist	START 5: PROCESS CERTIFIED ELECTION RESULTS Publish Certified Election Results <ul style="list-style-type: none"> Publish Certified Election Results Send to PRD Political Reform Specialist
Step 17: PRD Political Reform Program Specialist	Reconcile Result data with AMS <ul style="list-style-type: none"> Reconcile against 'Won or Lost' data in AMS Update AMS Go to Step 20
Step 18: Elections Specialist	START 6: PROCESS LIST OF 501 SUBMISSIONS AND LIMIT ACCEPTANCE Publish List of 501 Submissions and Limit Acceptance <ul style="list-style-type: none"> Publish List of 501 Submissions and Limit Acceptance (State Legislators who have submitted a 501 form and accepted the limit) Send to PRD Political Reform Specialist
Step 19: PRD Political Reform Program Specialist	Reconcile List data with AMS <ul style="list-style-type: none"> Reconcile against internal PRD list data
Step 20: PRD Political Reform Program Specialist	Confirm AMS data accuracy in Cal Access <ul style="list-style-type: none"> Confirm updated data in Cal Access If Cal Access data is incorrect, iterate this data correction until data is correct END 4, END 5 and END 6: VARIOUS PROCESSES



Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Candidate submits 501 Form to PRD prior to the published deadline for a specific election.
Frequency	Irregular frequency; can occur any time before published 501 filing deadline for a specific election. [Current volume is approx. 200-300 forms per election.]
Actors	<ul style="list-style-type: none"> • Candidate • PRD Mail Desk • PRD Political Reform Program Specialist • Elections • Public [Includes general public and media organizations]
Inputs	<ul style="list-style-type: none"> • 501 Candidate Statement of Intention • Request for copy of 501 Form • Certified List of Candidates from Elections (Who will be on ballot) • Certified Election Results from Elections • Written request from Secretary of State (or staff) • Public copy request (email or in person)
Outputs	<ul style="list-style-type: none"> • Completed 501 filing • Record of incomplete 501 filing • Third party copy of 501 Form • 501 Tracking DB Transmittal Form • Letter requesting 501 form correction and resubmission (multiple letter formats depending on correction needed)
Regulations/Policies	<ul style="list-style-type: none"> • Government Code Section 85200, including regulations • Elections Codes
Constraints	<ul style="list-style-type: none"> • Candidate must submit a correct 501 Form before the published filing deadline for a specific election • Written request from Secretary of State (Alex Padilla or Legal Counsel) to deviate from normal 501 processing
Issues	<ul style="list-style-type: none"> • No documented process for 501 filings that remain in an incorrect state after filing deadline (a late filed amendment does not prevent the candidate from moving forward in the election process) • AMS: In certain situations (changing the status of expenditure limits - rejection or acceptance), system does not correctly process amendments to 501; analyst must delete existing 501 record from database and re-enter; creates vulnerability for lost 501 data • AMS: When updating political party affiliation, system does not allow political party preference to be updated on Cal Access automatically. Must add a new attribute is added on the Filer screen. This triggers an update on Cal Access which was previously missing



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> • AMS: Usability issue – all screens - when a dialog box is resized to be larger, the display data does not get larger; only the blank space at the edge of the box • No documented process for enforcing 501 filings as a prerequisite for candidate solicitation of money • On Amended 501, date/time stamp if not entered at time the 501 is added, cannot be updated afterward. Must delete the Attribute data and re-add it (this applies to new attributes only)* • AMS records effective date when candidate is entered into the system; must update it to reflect correct filing date (usually prior to AMS add date) (this applies to candidate name only) • When removing a candidate from the AMS Elections table, no confirmation feature to ensure accuracy; system removes that candidate row and highlights next candidate • Reconciliation process needed to determine candidates who are missing 501 filings • AMS: Adding a new 501 – Filer Screen, Attribute Section – AMS does not allow two attributes to occur on the same date • AMS: Adding a new 501 – Filer Screen, Attribute Section – If a candidate attribute date is incorrect (such as Name date), user must delete entire attribute and re-add it *mentioned above • 501 Tracking Database: Can't search by candidate, can only search by batch • AMS: Desired feature – 'Not Applicable' for Expenditure Limits • AMS: Desired feature – Ability for Write-In candidates to make their statement for a primary election
Current Technology	<ul style="list-style-type: none"> • AMS – for maintaining 501 form data • CARES – for view-only authorized access to AMS data • 501 Tracking Database – for tracking 501 forms submitted to Elections • Shared file drive – for storing scanned copies of 501 forms
Sub-Processes	<ul style="list-style-type: none"> • Write-in 501 Candidate process (majority of write-in candidates will follow this process; exceptions occur but a process is needed to identify gaps for missing 501 filings) • 501 database updates
Workarounds	<ul style="list-style-type: none"> • The 501 Tracking database, written in MS Access, was developed because 501 copies sent to the Elections business unit were sometimes lost. The database records all transmittals to Elections; transmittals may include more than one 501 form. The Candidate 501 Transmittal form is part of this workaround



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> • Updates between AMS and Cal Access are not reliable; reconciliation workarounds are required for PRD to ensure Cal Access accuracy
Exceptions	<ul style="list-style-type: none"> • Write-in candidates can file two weeks before the specific election; not much time for correction and resubmission • Elections receives copies of all 501 Forms except those filed by candidates for Judge • Written requests from Secretary of State (or staff) causes exceptional processing on occasion • Candidates received from Elections on Certified List of Candidates must be entered into AMS as a shell record, regardless of 501 filing. Candidate gets added to AMS Elections table in this situation • Occasionally forms are received by PRD that were intended for local jurisdictions; these forms are sent back to the filer (Includes forms not filed for State jurisdiction, Constitutional Officers, CalPERS, CalSTRS, or Supervisor of Public Education) • PRD does not enforce the requirement for candidates to submit a 501 form prior to soliciting funds

III.4 Process 4: Report Filing – Coding/Verification

Purpose

Ensure that hardcopy forms received by PRD are entered correctly in AMS.

Process Description

The Coding process takes place after hardcopy forms have been received and date stamped by PRD. During the Coding/Verification process, forms undergo an initial review to confirm a limited set of data attributes (Date Received, Signature Present, State Jurisdiction, and non E-Filer). Forms that pass the initial review are coded in AMS and made available for detailed compliance review (Process 5: Report Filing – Review). Estimated volume of forms affected by this process is 3,000 per quarter.

See 'Exceptions' on Page 8 for Local Jurisdiction. Forms included in this process (both original forms and amendments): Campaign Forms (401, 425, 450, 460, 465, 470, 511) and Lobbying Forms (604, 615, 625, 635, 645, 690).

*Form 465 has been decommissioned (See 'Exceptions' on Page 8 for Form 465)



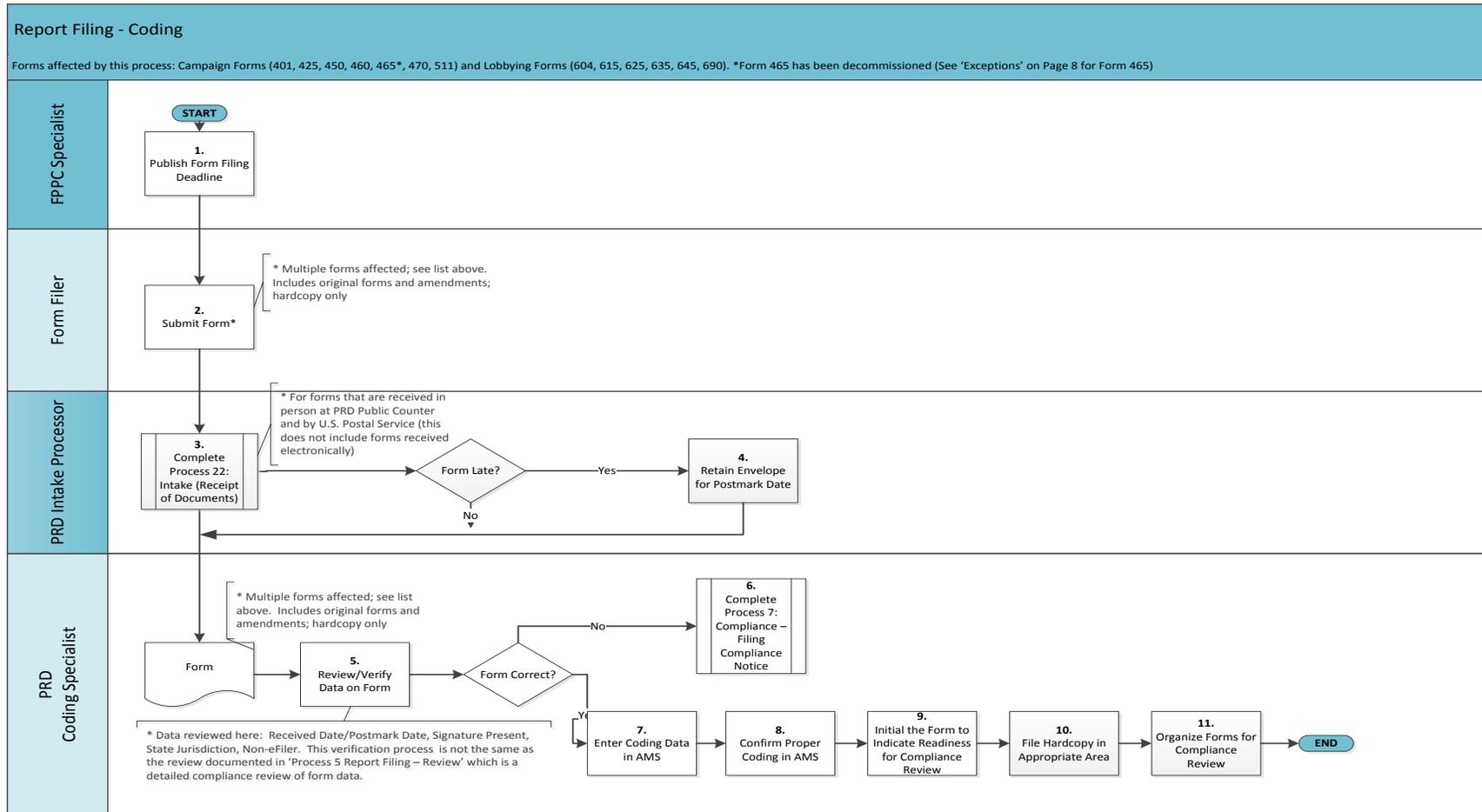
TECHNOLOGY MANAGEMENT SOLUTIONS



Process Flow Diagram

The following diagrams represent the actions taken by various individuals/entities to initially review and code filed forms, and manage the correction and resubmission of incorrect forms.

Figure 8: Process 4 Report Filing – Coding/Verification





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • Forms have been received and date stamped • The following forms are impacted by this process: Campaign Forms (401, 425, 450, 460, 470) and Lobbying Forms (602, 603, 605, 606, 615, 625, 630, 635, 635-C, 640, 645, 690) • There is no documented enforcement process for filer non-compliance. Occasionally a non-compliant form is forwarded to FPPC for enforcement 	
Step 1: FPPC Specialist	START : CODE AND VERIFY FORMS Publish form filing deadlines <ul style="list-style-type: none"> • Publish form filing deadlines
Step 2: Form Filer	Submit Form <ul style="list-style-type: none"> • Obtain form from SOS (Downloads form from SOS or FPPC public website, or obtain in person at PRD Public Desk) • May print E-Filing form for submission • Submit hardcopy form to PRD
Step 3: PRD Intake Processor	Receive Form <ul style="list-style-type: none"> • Complete Process 22: Intake (Receipt of Documents)
Step 4: PRD Intake Processor	Retain Envelope for Postmark Date <ul style="list-style-type: none"> • If form is late, retain envelope for postmark date and attach it to form
Step 5: PRD Coding Specialist	Review/verify Data on Form <ul style="list-style-type: none"> • Review hardcopy forms and AMS for a limited set of data attributes: (Date Received, Signature Present, State Jurisdiction, Non-E-Filer) <ul style="list-style-type: none"> ○ For an active State Candidate Controlled Committee, they must file their local candidate controlled committee forms with PRD ○ If a General Purpose Committee switches midyear from a state to a local jurisdiction, they must continue filing with PRD until the end of the calendar year ○ When coding a campaign statement, verify if the statement is for a State or Local committee. If it is a State committee, then code it. If the statement is for a local committee and it doesn't fulfill the previous two criteria, do not code the statement and give it to the Word Processing desk to be returned to the filer ○ Verify if the form has a corresponding electronic filing for that statement. If there is not a corresponding electronic filing for that statement then the form will be placed in the non E-Filer area for further electronic filing review
Step 6: PRD Coding Specialist	If form is incorrect, send filing compliance notice <ul style="list-style-type: none"> • If the form requires correction, complete Process 7: Compliance – Filing Compliance Notice (this is performed by PRD Word Processing Office Technician)
Step 7: PRD Coding Specialist	Enter Coding Data in AMS <ul style="list-style-type: none"> • Enter limited form data into AMS (limited set of attributes, as above) [NOTE: The coder uses postmark date before received date; codes postmark date first but if postmark date is missing, uses received date]
Step 8: PRD Coding Specialist	Confirm Proper Coding in AMS <ul style="list-style-type: none"> • Confirm that data entered into AMS has been properly coded by comparing



STEPS/ACTORS	DIRECTION
	AMS display data to the form
Step 9: PRD Coding Specialist	Initial the Form to Indicate Readiness for Compliance Review <ul style="list-style-type: none"> • Initial the form to signal readiness for compliance review • File original hardcopy form in Coding Completed Bins or Fine Desk area • Organize forms for compliance review • If form is from a Non E-Filer, file original form in Non E-Filer area
Step 10: PRD Coding Specialist	File Hardcopy in Appropriate Area <ul style="list-style-type: none"> • File form based on form status or origination <ul style="list-style-type: none"> ○ If a fine is due on the form, file in the Fine Desk area ○ If no fine is due, file original hardcopy form in Coding Completed Bins ○ If form is from a Non E-Filer, file original form in Non E-Filer area
Step 11: PRD Coding Specialist	Organize Forms for Compliance Review <ul style="list-style-type: none"> • Sort forms alphabetically END: CODE AND VERIFY FORMS

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> • Filing deadline has been published • Form has been submitted to PRD by filer • Form has been received and date stamped by PRD. This includes amendments and corrected forms
Frequency	Daily workload is dependent on various form filing cycles. [Current volume is approx. 2000-3000 forms per quarter.]
Actors	<ul style="list-style-type: none"> • FPPC • Form Filer • PRD Intake Processor • PRD Coding/Verification Staff
Inputs	<ul style="list-style-type: none"> • Form (See list of affected forms in Assumptions above) • Form Filing Deadline • AMS Received Date/Post Mark • AMS Jurisdiction • Management Inquiry
Outputs	<ul style="list-style-type: none"> • Form status 'Needs Review' in AMS • Initialed original hardcopy form, organized and filed for Compliance Review or Non-E-Filer review
Regulations/Policies	<ul style="list-style-type: none"> • FPPC filing guidelines • Political Reform Act Rev. 2016, Chapters 4 and 6 • California Code of Regulations, Title 2, Division 6, Chapter 4
Constraints	<ul style="list-style-type: none"> • Late mail processing causes coding delays • Large volume of forms, especially when a semi-annual deadline is reached, can slow coding process
Issues	<ul style="list-style-type: none"> • AMS: Log Filing – Electronic/Non-File attribute is not used; don't



PROCESS NARRATIVE	
	<p>know what may be missing if this attribute isn't used</p> <ul style="list-style-type: none"> AMS (Same screen) – doesn't use eight 'quarter' radio buttons at bottom of screen AMS: When Log Filing screen is re-displayed after deleting a duplicate row, the sort order changes and user must re-sort in order to get back to where they were working Lobbying forms should be modified to include ID # (aka FPPC ID #)
Current Technology	<ul style="list-style-type: none"> AMS – For maintaining status of form before and after coding Cal Access – To check for missing ID # FPPC Public Website - to check filing schedules SOS Public Website – to obtain forms
Sub-Processes	No sub-processes identified.
Workarounds	No workarounds identified.
Exceptions	<ul style="list-style-type: none"> If form has no associated ID #, PRD staff looks up ID # in AMS and writes it onto form; a request for correction is not mailed to the form filer If a form is filed late according to FPPC published deadlines, the postmarked envelope is kept along with the form to confirm filing date. Postmark date is used before received date for this process. The form is coded in AMS and indicated as ready for compliance review, then filed at Fine Desk area Amendments are never considered 'late' unless they don't have an 'initial' filing entered in AMS Major Donor, Candidate Intention Statement and Lobbying Registration forms are not coded through this process. See Process 1.5: Campaign – Filer Account Setup/Registration for Major Donor forms coding; Process 3: 501 Candidate Intention Statement for 501 Candidate Intention Statement forms coding and Process 2: Lobbying – Registration for Lobbying Registration forms coding Form 465 has been decommissioned and should not be received and/or coded if the filing period is after January 1, 2016. The filing will be returned to the filer. If a Form 465 is received, with a filing date before December 31, 2015, it may be coded depending on the situation Local Jurisdiction – PRD does not request a corrected form for Local Jurisdiction if there is no duty to file at SOS



III.5 Process 5: Report Filing – Review

Purpose

This process describes the activities that ensure Campaign and Lobbying forms (original and amendments) received and coded by PRD are reviewed for filing compliance, including accuracy and timeliness. Manage communication with form filers to ensure correction and resubmission of incorrect forms.

Process Description

The Review process (compliance review) takes place after electronic and hardcopy Campaign and Lobbying forms have been received by PRD, date stamped and coded into AMS. During the compliance review process, forms are evaluated for filing accuracy and timeliness. If a form does not meet accuracy and timeliness requirements, a letter is mailed to the filer requesting submission of a corrected form. Compliance staff also manages inquiries from filers and the public regarding access to form data. Estimated volume of forms affected by this process is 3,000 per quarter.

This document represents Campaign review and Lobbying review as separate processes.

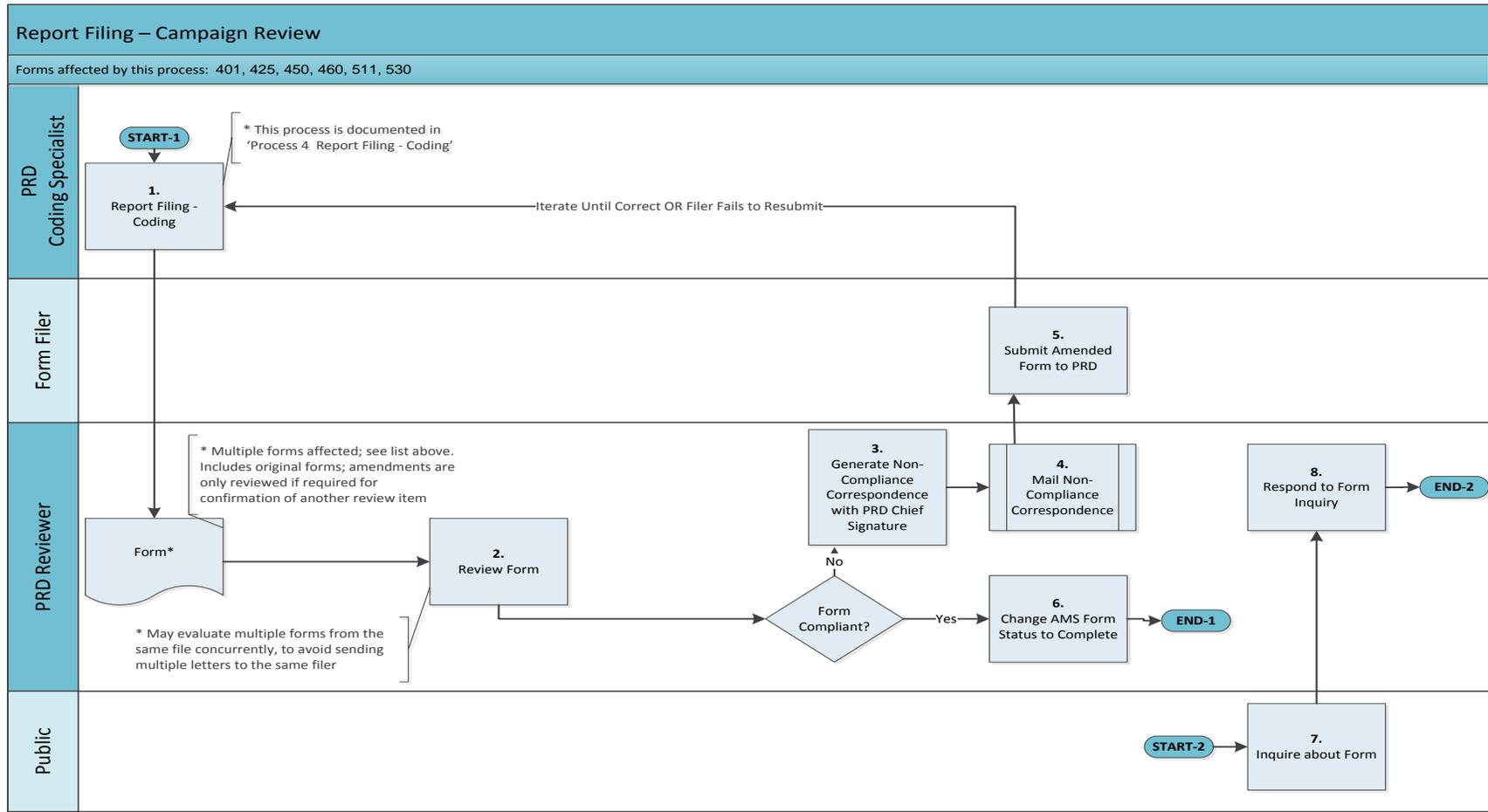
- Forms included in the Campaign process: 401, 425, 450, 460, 496, 497, 511, 530
 - *Form 465 has been decommissioned
 - *Forms 511 and 530 are rarely encountered but expected to follow the process documented here
- Forms included in the Lobbying process: 615, 625, 630, 635, 635-C, 640, 645, 690



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to review filed forms and manage the correction and resubmission of incorrect forms. It also depicts response to public inquiries regarding forms.

Figure 9: Process 5 Report Filing – Campaign Review





Process Step/Action Table - Campaign

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • Forms have been received and date stamped • The following forms are impacted by this process: 401, 425, 450, 460, 496, 497, 511, 530 • There is no documented enforcement process for filer non-compliance. Occasionally a non-compliant form is forwarded to FPPC for enforcement • Actual filing deadline used during review for all forms is 30 days after the deadline published by the FPPC • Form correction and resubmission 15-day deadlines are not enforced 	
Step 1: PRD Coding Specialist	START 1: REVIEW CAMPAIGN FORMS Code Campaign Forms <ul style="list-style-type: none"> • Complete coding of Campaign forms (See 'Process 4 Report Filing – Coding')
Step 2: PRD Reviewer	Review Form NOTE: Perform review based on method(s) of submission: <ul style="list-style-type: none"> ○ If paper form only filed, review paper file ○ If paper and electronic forms are both filed, compare paper form to AMS (electronic form entry) ○ If electronic form only filed, review only AMS data for compliance <ul style="list-style-type: none"> • Retrieve forms from Campaign drawers (NOTE: Campaign review can include paper and electronic forms at the same time) • Review each form for filing compliance, including accuracy and timeliness. Major review criteria: <ul style="list-style-type: none"> ○ Filing timeliness ○ If amendment, form must be filed using in the same filing format as the original form (paper vs. E-File) ○ Predetermined guidelines for filing periods and committee types, including quarterly (ballot measure committees) and odd years ○ If non-compliance correspondence was sent in error, new correspondence is sent instructing filer to disregard • If form is an amendment it is not generally reviewed unless required to confirm another compliance issue (this is due to workload) • If form is compliant, go to Step 6 • If form is not compliant, go to Step 3
Step 3: PRD Reviewer	Generate Non-Compliance Correspondence with PRD Chief Signature <ul style="list-style-type: none"> • If form is non-compliant, generate non-compliance correspondence based on non-compliant condition(s) identified during review • Print non-compliance correspondence • Obtain PRD Chief signature on non-compliance correspondence
Step 4: PRD Reviewer	Mail Non-compliance Correspondence <ul style="list-style-type: none"> • Mail non-compliance correspondence to form filer requesting form correction and resubmission
Step 5: Form Filer	Submit Amended Form to PRD <ul style="list-style-type: none"> • Receive non-compliance correspondence from PRD • If in agreement, mail amended form to PRD and return to Step 1



STEPS/ACTORS	DIRECTION
	This step iterates until form is correct or form filer fails to resubmit. May also include email and phone communication.
Step 6: PRD Reviewer	Change AMS Form Status to Complete <ul style="list-style-type: none"> Indicate in AMS that form review is complete (this also includes marking "Audit Fine" as complete, except when a form is late because it has already been evaluated) Place form area for forms to be filed (this is different from Lobbying process due to Campaign workload) END 1: REVIEW CAMPAIGN FORMS
Step 7: Public	START 2: INQUIRE ABOUT FORM Inquire About Form <ul style="list-style-type: none"> Request copy of form or inquire about form status or non-compliance correspondence [Requests are accepted by phone, email or in person at PRD Public Desk]
Step 8: PRD Reviewer	Respond to Form Inquiry <ul style="list-style-type: none"> Instruct public (form requester) on how to access form data online using Cal Access Answer questions about form status or non-compliance correspondence END 2: INQUIRE ABOUT FORM

Process Narrative - Campaign

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Forms have been coded and are available (electronically in AMS; hardcopy in sorted bins).
Frequency	Daily workload is dependent on various form filing cycles [Current volume is approx. 2000-3000 forms per quarter).
Actors	<ul style="list-style-type: none"> PRD Coding Specialist Form Filer PRD Reviewer Public
Inputs	<ul style="list-style-type: none"> Form (See list of affected forms in Assumptions above) Public inquiry (includes other agency inquiry such as FPPC and FTB)
Outputs	<ul style="list-style-type: none"> Non-compliance correspondence (including 'disregard' letters) Hardcopy forms are retained Email response to inquiries
Regulations/Policies	<ul style="list-style-type: none"> FPPC filing guidelines Political Reform Act Rev. 2016, Chapters 4 and 6 California Code of Regulations, Title 2, Division 6, Chapter 4
Constraints	Volume of workload and time allotted for review cause delays in review process.
Issues	<ul style="list-style-type: none"> AMS: Displays multiple 'Database Error' dialogue boxes when user attempts to use the 'Modify Segment' function. These errors are unpredictable both in their frequency of display and their behavior when clicked



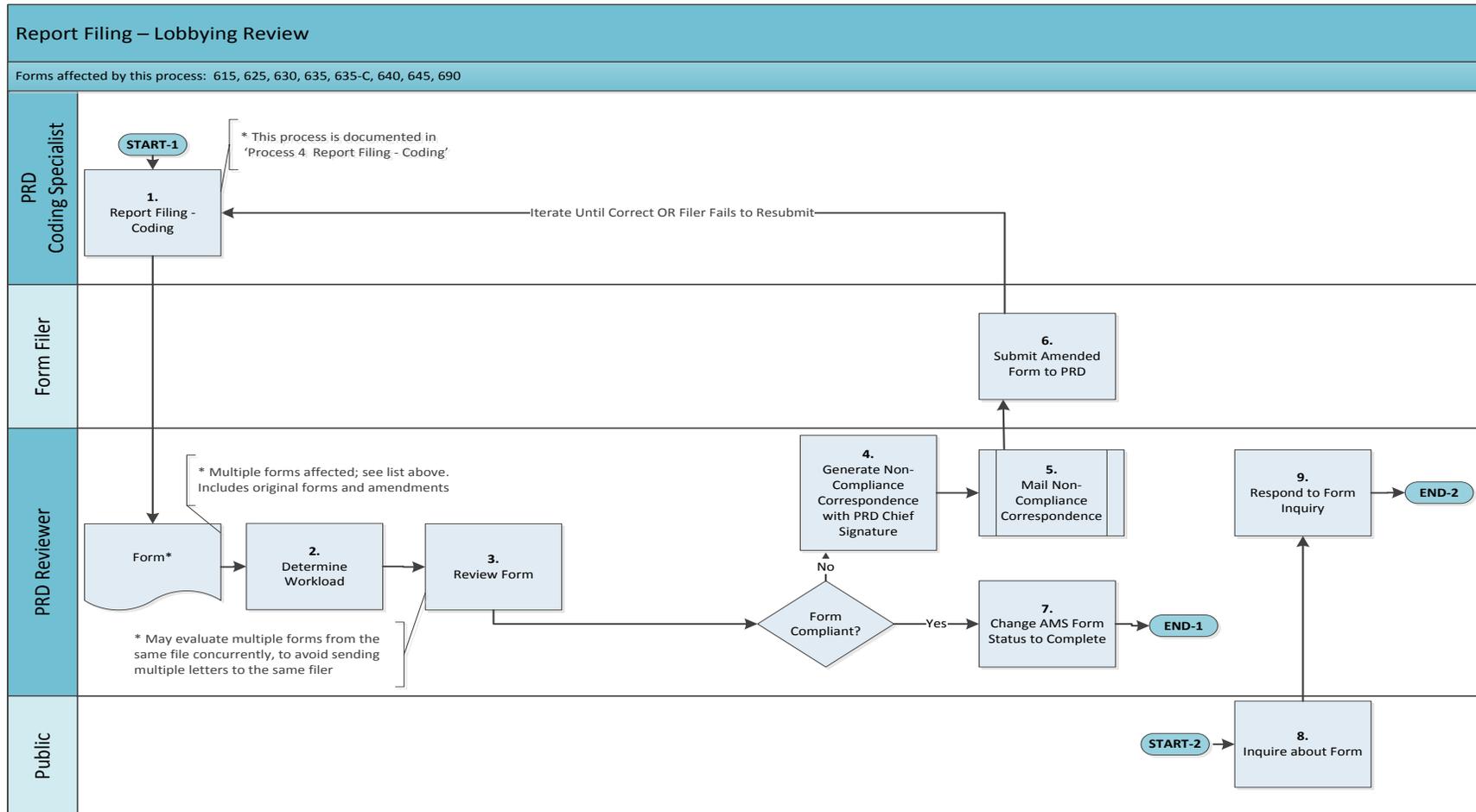
PROCESS NARRATIVE	
	<ul style="list-style-type: none">AMS: Dialogue boxes freeze often during this processPRD Compliance staff must go to too many places to determine daily workloadAMS: Since its major crash in November 2011, the system has encountered daily problemsAMS: Shuts down unexpectedly and kicks user out of systemAMS: When opening a new report using PDF, system always displays the previous form rather than the selected form, but doesn't alert userLimited resources and staff available for review causes work backlog; automated tools to support review and reduce workload are not available
Current Technology	<ul style="list-style-type: none">AMS – For PRD forms data maintenanceCal Access – For public viewing of form data
Sub-Processes	No sub-processes identified.
Workarounds	No workarounds identified.
Exceptions	Incorrect form resubmission – PRD requests that filers respond within 15 calendar days; however, this due date is not enforced.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to review filed forms and manage the correction and resubmission of incorrect forms. It also depicts response to public inquiries regarding forms.

Figure 10: Process 5 Report Filing – Lobbying Review





Process Step/Action Table - Lobbying

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • Forms have been received and date stamped • The following forms are impacted by this process: 615, 625, 630, 635, 635-C, 640, 645, 690 • There is no documented enforcement process for filer non-compliance. Occasionally a non-compliant form is forwarded to FPPC for enforcement • Actual filing deadline used during review for all forms is 30 days after the deadline published by the FPPC • Form correction and resubmission 15-day deadlines are not enforced 	
Step 1: PRD Coding Specialist	START 1: REVIEW LOBBYING FORMS Code Lobbying Forms <ul style="list-style-type: none"> • Complete coding of Lobbying forms (See 'Process 4 Report Filing – Coding')
Step 2: PRD Reviewer	Determine Workload <ul style="list-style-type: none"> • Determine workload by: <ul style="list-style-type: none"> ○ Running AMS Report ○ Running PRD Administration Lobbying “Needs Review” web report ○ Checking daily filings (including amendments) on SOS website ○ Checking Lobbying printouts (4)
Step 3: PRD Reviewer	Review Form NOTE: Perform review based on method(s) of submission: <ul style="list-style-type: none"> ○ If paper form only filed, review paper file ○ If paper and electronic forms are both filed, compare paper form to AMS (electronic form entry) ○ If electronic form only filed, review only AMS data for compliance <ul style="list-style-type: none"> • Review each form for filing compliance, including accuracy and timeliness. Major review criteria: <ul style="list-style-type: none"> ○ Filing timeliness ○ If amendment, form must be filed using in the same filing format as the original form (paper vs. E-File) ○ If non-compliance correspondence was sent in error, new correspondence is sent instructing filer to disregard ○ Forms 630 and 635-C, if ‘Attachment’ box is checked by the filer but no attachment is present ○ For affected forms, filer must report eight quarters unless they have terminated ○ Form 635 – must be filed electronically if cumulative monetary activity totals \$2500 or more ○ If non-compliance correspondence was sent in error, new correspondence is sent instructing filer to disregard • If form is compliant, go to Step 6 • If form is not compliant, go to Step 4
Step 4: PRD Reviewer	Generate Non-Compliance Correspondence with PRD Chief Signature <ul style="list-style-type: none"> • If form is non-compliant, generate non-compliance correspondence based on non-compliant condition(s) identified during review



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> Print non-compliance correspondence Obtain PRD Chief signature on non-compliance correspondence. This is accomplished by placing the hardcopy for signature in a folder and giving the folder to the PRD Chief. The PRD Chief then reviews and signs the hardcopy and returns it to the PRD Reviewer
Step 5: PRD Reviewer	Mail Non-compliance Correspondence <ul style="list-style-type: none"> Mail non-compliance correspondence to form filer requesting form correction and resubmission
Step 6: Form Filer	Submit Amended Form to PRD <ul style="list-style-type: none"> Receive non-compliance correspondence from PRD If in agreement, mail amended form to PRD and return to Step 1 <p>This step iterates until form is correct or form filer fails to resubmit. May also include email and phone communication.</p>
Step 7: PRD Reviewer	Change AMS Form Status to Complete <ul style="list-style-type: none"> Indicate in AMS that form review is complete (this also includes marking "Audit Fine" as complete, except when a form is late because it has already been evaluated) File original form END 1: REVIEW LOBBYING FORMS
Step 8: Public	START 2: INQUIRE ABOUT FORM Inquire About Form <ul style="list-style-type: none"> Request copy of form or inquire about form status or non-compliance correspondence [Requests are accepted by phone, email or in person at PRD Public Desk]
Step 9: PRD Reviewer	Respond to Form Inquiry <ul style="list-style-type: none"> Instruct public (form requester) on how to access form data online using Cal Access Answer questions about form status or non-compliance correspondence END 2: INQUIRE ABOUT FORM

Process Narrative - Lobbying

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Forms have been coded and are available (electronically in AMS; hardcopy in sorted bins).
Frequency	Daily workload is dependent on various form filing cycles [Current volume is approx. 2000-3000 forms per quarter.
Actors	<ul style="list-style-type: none"> PRD Coding Specialist Form Filer PRD Reviewer Public
Inputs	<ul style="list-style-type: none"> Form (See list of affected forms in Assumptions above) Public inquiry (phone, email) Management inquiry Other agency inquiry (FPPC, FTB)
Outputs	<ul style="list-style-type: none"> Non-compliance correspondence (including 'disregard' letters)



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> • Hardcopy forms are retained • Email response to inquiries
Regulations/Policies	<ul style="list-style-type: none"> • FPPC filing guidelines • Political Reform Act Rev. 2016, Chapters 4 and 6 • California Code of Regulations, Title 2, Division 6, Chapter 4
Constraints	<ul style="list-style-type: none"> • Volume of workload and time allotted for review cause delays in review process • Limited resources and staff available for review causes work backlog
Issues	<ul style="list-style-type: none"> • AMS: Displays multiple 'Database Error' dialogue boxes when user attempts to use the 'Modify Segment' function. These errors are unpredictable both in their frequency of display and their behavior when clicked • AMS: Dialogue boxes freeze often during this process • PRD Compliance staff must go to too many places to determine daily workload • AMS: Since its major crash in November 2011, the system has encountered daily problems • AMS: Shuts down unexpectedly and kicks user out of system • AMS: When opening a new report using PDF, system always displays the previous form rather than the selected form, but doesn't alert user
Current Technology	<ul style="list-style-type: none"> • AMS – For PRD forms data maintenance • Cal Access – For public viewing of form data
Sub-Processes	Records Transfer (Process 12: Records Transfer).
Workarounds	<ul style="list-style-type: none"> • AMS Error Displays: User must keep clicking until dialogue box disappears • AMS Freezing: User must open multiple windows within AMS and keep them active throughout the day, in case one window freezes
Exceptions	<ul style="list-style-type: none"> • Actual filing deadline used during review for all forms is 30 days after the deadline published by the Fair Political Practices Commission (FPPC), except Form 645 which has a "threshold of activity" filing requirement rather than a filing deadline • Incorrect form resubmission – PRD requests that filers respond within 15 calendar days; however, this due date is not enforced • The typical path for most forms, when staff indicates in AMS that form review is complete, includes marking "Audit Fine" as complete. The "Audit Fine" flag is not changed to complete for late paper Election forms because those forms have already been evaluated • Form 640 formerly applied to local governments only; however, the form which became available July 1, 2016 will be used by all jurisdictions beginning October 31, 2016



III.6 Process 6: Compliance – Fines

Purpose

This process describes the activities required to evaluate form filing activity to determine whether a fine should be assessed; assess fine and manage its payment lifecycle.

Process Description

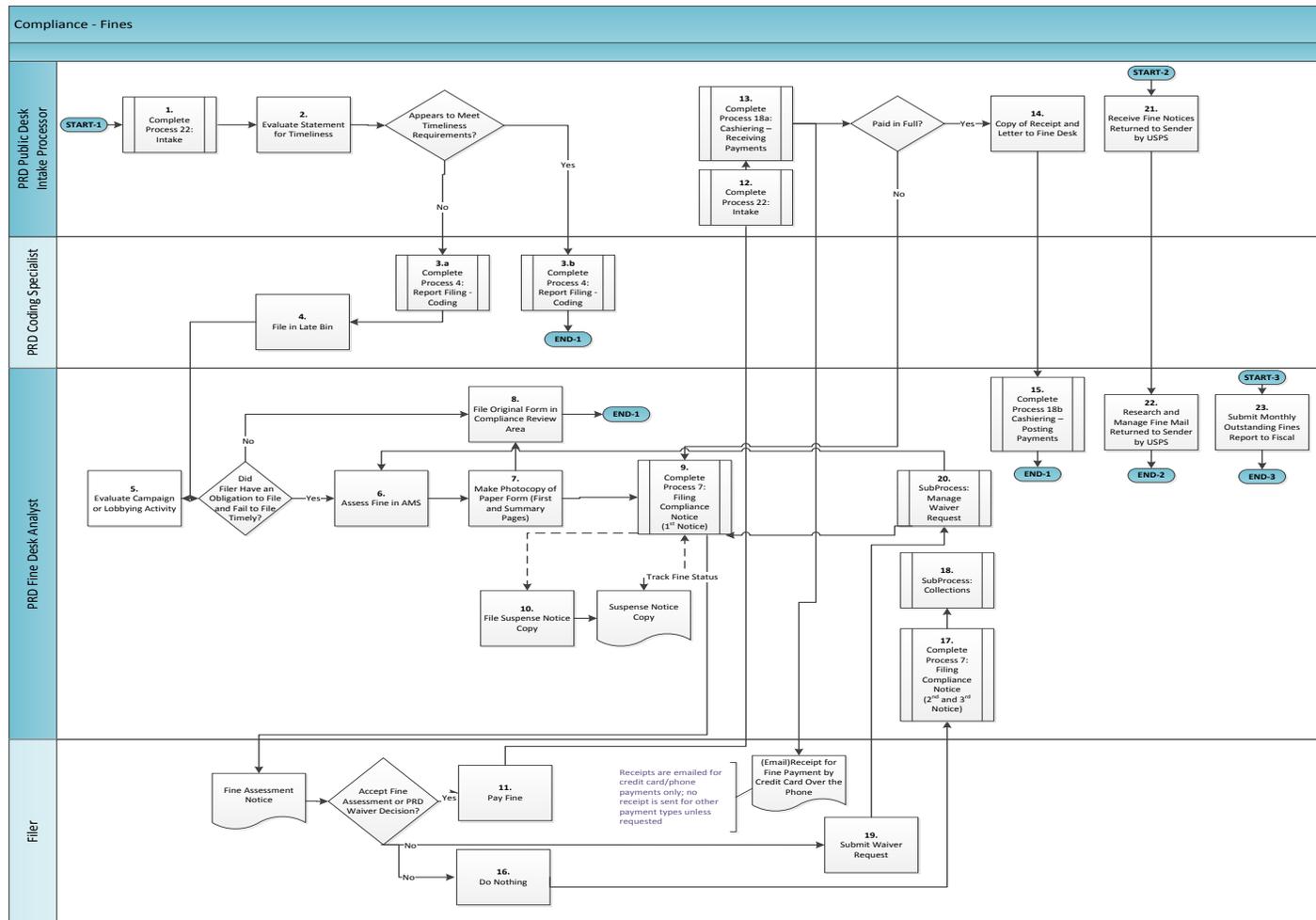
Filers and forms are evaluated to determine eligibility for fines. Lobbying and campaign forms are evaluated for filing timeliness. If a filer or form is non-compliant, a fine is assessed. The fine is then managed for collection, payment and reconciliation against outstanding balances. PRD keeps the Accounting and Fiscal units informed of fine activity.



Process Flow Diagram

This figure represents the actions taken by PRD to evaluate, assess and manage fine activity.

Figure 11: Process 6 Compliance - Fines





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • A form has been received that reports monetary activity (either Lobbying or Campaign) • Filing deadline has passed 	
Step 1: PRD Intake Processor	START 1: MANAGE FINES Receive statement <ul style="list-style-type: none"> • Complete Process 22: Intake (Receipt of Documents)
Step 2: PRD Intake Processor	Evaluate statement for timeliness <ul style="list-style-type: none"> • Compare postmark date (if present) or received date of form to filing deadline • If form is on time, file form in Coding area • If form is late, file form in "late" Coding area
Step 3: PRD Coding Specialist	Complete Coding Process <ul style="list-style-type: none"> • Complete Process 4: Report Filing - Coding <p>Exceptions to this step:</p> <ul style="list-style-type: none"> • Major Donors forms (paper and electronic) are coded and reviewed at same time, prior to being delivered to the Fine Desk • E-File lobbying forms are not coded, just reviewed prior to having copy delivered to the Fine Desk • If a form was E-Filed, it is reviewed as the Fine Desk is reviewing the paper copy of the same form (including Major Donor forms) END 1: MANAGE FINES (COMPLIANT FORMS ONLY)
Step 4: PRD Coding Specialist	File in Late Bin <ul style="list-style-type: none"> • If statement is late, file in Late Bin for Fine Desk • If statement is not late, go to end of process (statement continues on normal path; is not processed by Fine Desk)
Step 5: PRD Fine Desk Analyst	Evaluate Campaign or Lobbying Activity <ul style="list-style-type: none"> • Evaluate campaign or lobbying activity performed by filer of the late form <ul style="list-style-type: none"> ○ If filer had an obligation to file (paper or electronic) but failed to file timely
Step 6: PRD Fine Desk Analyst	Assess Fine in AMS <ul style="list-style-type: none"> • If fine is required, assess fine by entering it into AMS
Step 7: PRD Fine Desk Analyst	Make Photocopy of Paper Form <ul style="list-style-type: none"> • Make photocopy of paper form (first and summary pages; no copy of electronic form needed because it has already been printed) • Place in basket for Word Processing
Step 8: PRD Fine Desk Analyst	File Original Form in Compliance Review Area <ul style="list-style-type: none"> • File original paper form in PRD Review area to continue normal review process END 1: MANAGE FINES (FORMS FOR REVIEW ONLY)
Step 9: PRD Word Processing Office Technician	Send First Fine Notice to Filer <ul style="list-style-type: none"> • Complete Process 7: Compliance – Filing Compliance Notice (1st Notice)



STEPS/ACTORS	DIRECTION
Step 10: PRD Fine Desk Analyst	File Suspense Notice Copy <ul style="list-style-type: none"> File a suspense notice copy internally, for tracking status of fine assessment and payment
Step 11: Filer	Accept and Pay Fine? <ul style="list-style-type: none"> Receive Fine Assessment Notice If accept fine, submit fine payment to PRD (Go to Step 12) Filer may do nothing (Skip to Step 16) If does not accept fine, submit a Waiver Request [PRD-1 or PRD-2] (Go to Step 18) If filer does not receive Fine Assessment Notice because the notice is returned to PRD via USPS for further research and to be returned to the filer, complete Process 7: Compliance – Filing Compliance Notice
Step 12: PRD Intake Processor	Receive Fine Payment <ul style="list-style-type: none"> Complete Process 22: Intake (Receipt of Documents)
Step 13: PRD Intake Processor	Apply Fine Payment Filer submitted a fine payment by cash, check or money order (includes credit card payment at Public Desk) Note: This step is mostly performed by PRD Public Desk but is occasionally performed by PRD Fine Desk when research is required <ul style="list-style-type: none"> Complete Process 18b – Cashiering – Payments Posting Payments <ul style="list-style-type: none"> Receive the payment, enter payment into AMS and create a paper receipt. Attach a copy of the receipt to a copy of the Fine Notice and file both in PRD Fine Desk area Filer submitted a fine payment by credit card (phone) <ul style="list-style-type: none"> Complete Process 18a Cashiering – Receiving Payments <ul style="list-style-type: none"> Enter payment into AMS. Scan paper receipt generated by AMS and email it to the payer
Step 14: PRD Intake Processor	Copy of Receipt and Notice to Fine Desk <ul style="list-style-type: none"> Give AMS-generated paper receipt and Fine Assessment Notice to PRD Fine Desk
Step 15: PRD Fine Desk Analyst	Post Fine Payment <ul style="list-style-type: none"> Complete Process 18b – Cashiering – Posting Payments <ul style="list-style-type: none"> Pull the Suspense Notice Copy filed in Step 10. Post from the Suspense Copy of the Fine Notice that has a copy of the receipt attached. If not paid in full, refer to Process 7: Compliance – Filing Compliance Notice. If paid in full, close out notices pertaining to fine END 1: MANAGE FINES (FULLY PAID FINES ONLY)
Step 16: Filer	Do Nothing <ul style="list-style-type: none"> Filer fails to respond to PRD correspondence; does not pay fine due NOTE: This step may apply at various times throughout this process
Step 17: PRD Word Processing Office Technician	Send 2nd or 3rd Fine Notice <ul style="list-style-type: none"> Complete Process 7: Compliance –Filing Compliance Notice (2nd and 3rd Notice)
Step 18: PRD Fine Desk Analyst	Perform Collections <ul style="list-style-type: none"> Refer to "Collections" sub-process below
Step 19: Filer	Submit Waiver Request <ul style="list-style-type: none"> Submit Waiver Request PRD-1 or PRD-2 form to PRD
Step 20: PRD Fine Desk	Manage Waiver Request



STEPS/ACTORS	DIRECTION
Analyst	<ul style="list-style-type: none"> Refer to "Waiver" sub-process below
Step 21: PRD Intake Processor	START 2: MANAGE RETURNED MAIL Receive Fine Notices Returned to Sender by USPS <ul style="list-style-type: none"> Complete Process 22: Intake (Receipt of Documents) Send to PRD Fine Desk for research and further action (if possible)
Step 22: PRD Fine Desk Analyst	Research and Manage Fine Mail Returned to Sender by USPS <ul style="list-style-type: none"> Research returned mail Attempt to resolve returned mail File returned mail in 'No Additional Address' drawer if undeliverable END 2: MANAGE RETURNED MAIL
Step 23: PRD Fine Desk Analyst	START 3: OUTSTANDING FINES REPORT Submit Monthly Outstanding Fines Report to Fiscal <ul style="list-style-type: none"> Run Outstanding Fines Report from AMS Filter and clean up data on the Outstanding Fines Report Submit Outstanding Fines Report to Fiscal Post cleaned up report data to Outstanding Fines list on SOS public website END 3: OUTSTANDING FINES REPORT

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	A form is received and determined to be late.
Frequency	Ongoing based on published filing deadlines. [Current volume is between 2000-3000 fines assessed annually.]
Actors	<ul style="list-style-type: none"> PRD Intake Processor PRD Coding Specialist PRD Fine Desk Analyst Filer Division Chief Word Processing Desk Office Technician Fiscal Department
Inputs	<ul style="list-style-type: none"> Form Fine Assessment Waiver Fine Payment Contribution tracking for E-Filer status Mail returned by USPS
Outputs	<ul style="list-style-type: none"> Fine Assessment Notices (1st, 2nd and 3rd) Waiver Decision Notices Waiver Request Excel Spreadsheet Notated fine amount on original paper Campaign or Lobbying Form Suspense Copy "Close" Letter on AMS



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> • Fine Payment Receipt • Outstanding Fines Report
Regulations/Policies	<ul style="list-style-type: none"> • Government Code Section 85200, including regulations • Elections Codes
Constraints	<ul style="list-style-type: none"> • If filer is a Foreign Placement Agent (FPA), the fine process requires much more effort and time because the FPA is typically located in a different time zone. This requires coordinated phone calls and communication. More effort and time are also required when language barriers are present • Many central committees/political party committees and other general purpose committees change officers every one to two years which increases the chance of incurring fines and education needed for those committee • Lack of management reports to support this process
Issues	<ul style="list-style-type: none"> • AMS - View Fine History screen: Uses different terminology than the Post Fine Waiver screen • AMS does not allow the user to effectively sort, filter or otherwise organize the “Financial” and “Correspondence” tabs • AMS does not provide an audit trail for assessed fines or deleted fines or for the post/edit waivers screen • AMS does not provide a user-friendly history of fine, waiver and correspondence activity • Payment plans are difficult to track (AMS does not have this functionality) • AMS – Financial tab: User cannot ‘refresh’ data on the screen (would like auto-refresh of all screens) • AMS – does not support fining amendments • AMS does not allow user to enter six-digit legacy ID # in multiple areas involving Fine Desk process • AMS – Calculate Fine Penalties, Post Waiver and Post Payments: all three screens are missing the Document ID# of the statement that is being fined • AMS – Filing tab: does not allow user to select two electronic filings in succession • AMS does not display the statement due date on the financial tab • E-Filed forms only: An AMS report can be generated on AMS



PROCESS NARRATIVE	
	<p>to look for late statements, but this isn't usually used unless there isn't a big backlog on the fine desk. It can be found by using the Audit Tools tab, Special Reports, "Filings That Could Be Late" option. This is only used for potentially late e-filings and it can be used for lobbying quarterly statements too. It appears the "Days Late" field is broken and it has to stay as "32" days late. It seems to only work for semi-annual deadlines and it doesn't take into account when the deadline falls on a weekend and is then extended to the following Monday</p>
Current Technology	<ul style="list-style-type: none"> • AMS – for maintaining fine and compliance data, and running Outstanding Fines Report • Email – for communicating with filer • Excel – for outstanding fines, E-File contributions and Waiver tracking • SOS website • Phone – for communicating with filer • Concrete5 open source website editor – to edit content on SOS website to post outstanding fines
Sub-Processes	<p>Manage Waiver Process (not detailed on Figure 1)</p> <ul style="list-style-type: none"> • Filer has 30 days to submit a Fine Waiver Request – PRD1 form • Filer submits a Fine Waiver Request PRD-1 Form • Fine Desk staff preps waiver for decision by PRD Division Chief • Create Waiver Request Excel spreadsheet • Forwards to PRD Division Chief for decision to accept or reject waiver request, or reduce fine amount owed • PRD Division Chief returns waivers to the Fine Desk with decision notated • Fine Desk posts waiver decision onto AMS using the "Post Waiver/Edit Waiver" screen • Mails signed notice to Filer indicating waiver decision. Refer to Process 7: Compliance – Filing Compliance Notice • If waiver request accepted, indicates zero balance on AMS • If the waiver request is denied or partially waived, the filer has the option to submit new waiver request information on a Reconsideration Form PRD-2 <p>Collections Process (not detailed on Figure 1)</p> <ul style="list-style-type: none"> • Research collection status • Communicate with filer by phone and email <p>USPS Mail has been returned to PRD (for various reasons) (est. 5% of Fine Assessment Notices)</p> <ul style="list-style-type: none"> • PRD Fine Desk searches for additional address to re-send corrected form to filer • Re-sends Fine Assessment Notice to new address • AMS Correspondence Tab – adds comments to indicate re-send activity
Workarounds	<ul style="list-style-type: none"> • Two SQL queries based on AMS data were developed to assist PRD Fine Desk in determining fine eligibility (1. For current election, all contributions over \$5,000 must be reported within one business day, 2). For next election, all contributions over



PROCESS NARRATIVE	
	<p>\$5,000 must be reported within ten business days)</p> <ul style="list-style-type: none">• “Calculate Fine Penalty” does not show the Document ID#, so have to “complete” the “Audit” option on the “Modify Segment” on the “Filings” tab for the entity be fined to make sure assessing the correct fine. This is especially true for 24-hour reports that have the same filing period
Exceptions	<ul style="list-style-type: none">• When PRD Fine Desk determines whether filer had an obligation to file, weekend days and state holidays are typically skipped for ‘late’ assessment. However, weekends before an election are not skipped for forms 497 and 498. Form 496, used to report independent expenditures during 90 days before an election within 24 hours, is never subject to the next business day rule and must always be reported within 24 hours of the date on which the independent expenditure is made, even if the independent expenditure is made on a weekend day or holiday• 496, 497 and 498 forms are only filed electronically and are not evaluated by PRD Public Desk for potential late filing• This process can also be triggered by Report Filing – Coding staff prior to coding the form, or Report Filing – Review staff after the form has been coded• A filer may submit a fine payment or waiver request along with the form, knowing that it is late. In this case, the form is coded, fine assessed and, if it is provided, the payment is applied all in one sitting, if a waiver is included then the fine is assessed and the Suspense Copy of the form and the PRD-1 are routed through the Waiver Process. No fine notice about the late filing is created or sent



III.7 Process 7: Compliance – Filing Compliance Notice

Purpose

This process describes the activities required to manage the cycle of notification to a filer who has a fine due; has filed a Waiver; has filed a non-compliant form (Sendback); has filed a paper Lobbyist Statement and is required to E-File; and manage communication for FPPC referrals.

Process Description

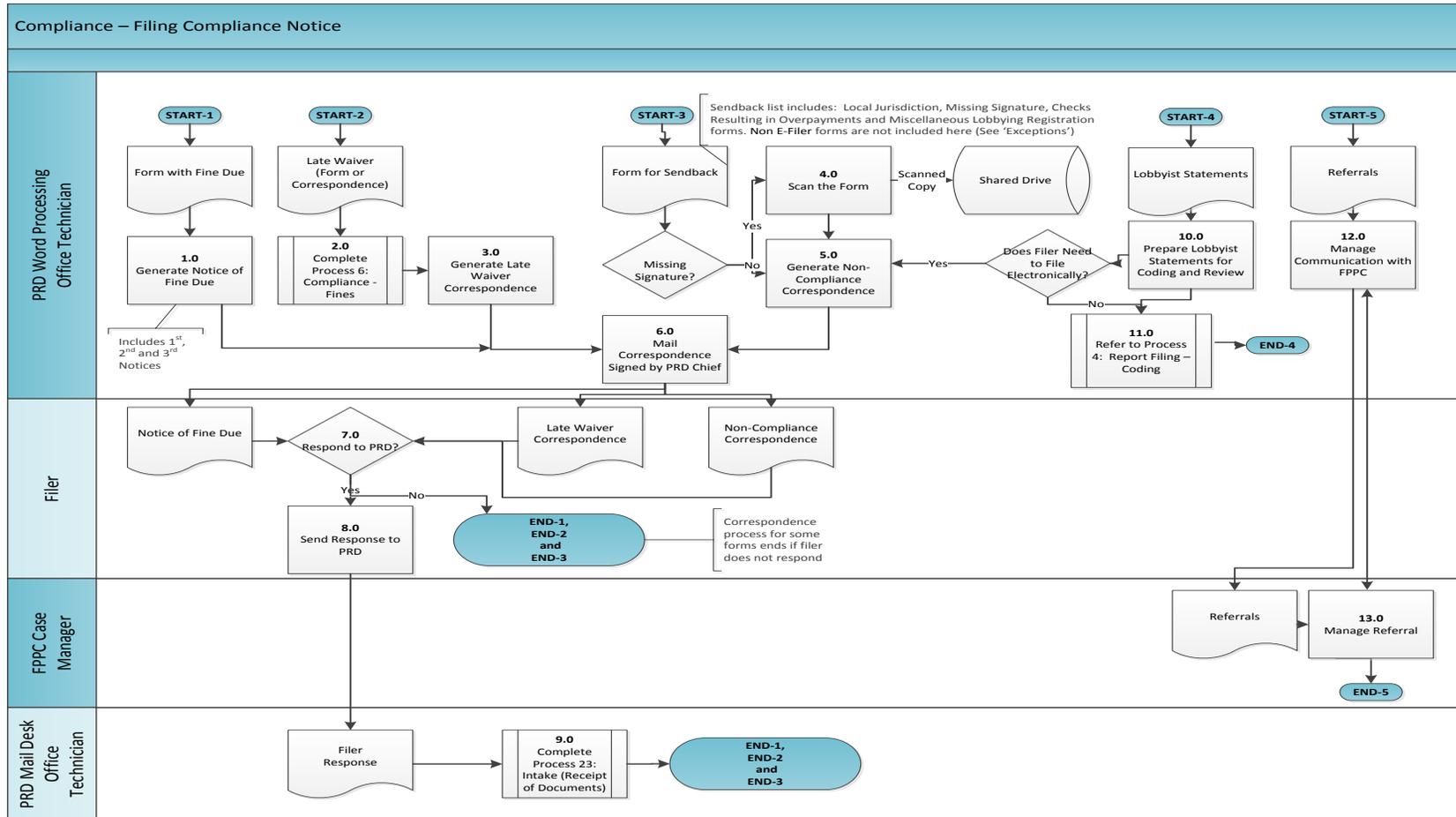
This process begins when forms have been received by the Word Processor that require correspondence with a third party (usually the form filer). Forms include those with a fine due Waiver requests and non-compliant forms. Correspondence is generated based on the non-compliance issue with the form or other business rules. If required, a signature is obtained from the PRD Chief prior to mailing to the filer. This process also includes preparation of Lobbyist Statements for Coding/Verification and referrals to FPPC. Forms affected by this process: Forms with fines due; Waiver communication; Non-Compliant Correspondence (Sendbacks); Lobbyist Statements and Referrals to FPPC.



Process Flow Diagram

This figure represents the actions taken by PRD to communicate with filers and the FPPC regarding non-compliant forms and other correspondence.

Figure 12: Process 7 Compliance – Filing Compliance Notice





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • A form or correspondence has been received that meets one or more of the following conditions <ul style="list-style-type: none"> ○ Is non-compliant (fine due, late, incomplete, incorrect) ○ Is a Waiver request or supporting correspondence (NOTE: "Waiver" is also referred to as "Late Waiver") ○ Is a Lobbyist Statement ○ Is a referral request to the FPPC • The form may be an original or an amendment 	
Step 1: PRD Word Processor	START 1: PROCESS FORM WITH FINE DUE Process form with fine due <ul style="list-style-type: none"> • Generate 1st Notice of Fine Due [NOTE: This step may require generation of a 2nd or 3rd Notice if filer has failed to respond to prior notice(s). Also, the 2nd and 3rd Notice process may be managed by the Fine Desk] • Obtain PRD Chief signature • Mail correspondence to filer • Complete Process 6: Compliance – Fines (Route for Collections if filer has not responded to 3rd Notice) • Go to Step 6
Step 2: PRD Word Processor	START 2: PROCESS WAIVER FORM AND/OR CORRESPONDENCE Obtain decision on Waiver form and/or correspondence <ul style="list-style-type: none"> • Complete Process 6: Compliance – Fines (To obtain updated decision or information from PRD Chief regarding Waiver request)
Step 3: PRD Word Processor	Generate Waiver Correspondence <ul style="list-style-type: none"> • Generate Waiver correspondence • Go to Step 6
Step 4: PRD Word Processor	START 3: BEGIN PROCESSING OF SENDBACKS (Non-compliant forms) Scan the Form if Missing a Signature If form is missing a signature: <ul style="list-style-type: none"> • Scan the form • Save scanned form to Shared Drive If form is not missing a signature: <ul style="list-style-type: none"> • Go to Step 5
Step 5: PRD Word Processor	Generate Non-Compliance Correspondence <ul style="list-style-type: none"> • Evaluate non-compliant condition of form "tape" • Generate non-compliance correspondence based on tape
Step 6: PRD Word Processor	Mail correspondence signed by PRD chief <ul style="list-style-type: none"> • Obtain PRD Chief Signature • Mail correspondence to filer
Step 7: Filer	Receive PRD correspondence and either: <ul style="list-style-type: none"> • Do nothing [END 1, END 2 and END 3: (VARIOUS PROCESSES)] OR • Go to Step 8
Step 8: Filer	Send Response to PRD



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> • Mail response to PRD OR • Email response to PRD OR • Call PRD with response
<p>Step 9: PRD Intake Processor</p>	<p>Receive Filer correspondence</p> <ul style="list-style-type: none"> • Complete Process 22: Intake (Receipt of Documents) <p>END 1, END 2 and END 3: (VARIOUS PROCESSES) NOTE: These three processes may begin again if filer responds via Process 22: Intake)</p>
<p>Step 10: PRD Word Processor</p>	<p>START 4: PREPARATION OF LOBBYIST FORMS Prepare Lobbyist Statement for Coding and Review</p> <ul style="list-style-type: none"> • Prepare Lobbyist Statement for Coding <ul style="list-style-type: none"> ○ Make a copy of the original form (front page only) ○ Two copies of the non-compliance letter are generated in AMS. Attach one copy to the front-page form (from previous step) and place in the basket in the PRD Program Specialist area ○ Check threshold for both paper and electronic form – if \$2500 in activity, identify whether filer needs to file electronically ○ After receiving Chief’s signature on the other copy (from AMS), mail correspondence to the filer along with any non-compliant forms that were received prior to current date • If filer needs to file electronically <ul style="list-style-type: none"> ○ Go to Step 5 • If filer does not need to file electronically <ul style="list-style-type: none"> ○ Go to Step 11
<p>Step 11: PRD Word Processor</p>	<p>Send Lobbyist Forms for Coding</p> <ul style="list-style-type: none"> • Complete Process 4: Report Filing – Coding <p>END 4: PREPARATION OF LOBBYIST FORMS</p>
<p>Step 12: PRD Word Processor</p>	<p>START 5: PROCESS FPPC REFERRAL Manage communication with FPPC</p> <ul style="list-style-type: none"> • Determine type of information needed by FPPC and do one or more of the following <ul style="list-style-type: none"> ○ Mail referral correspondence ○ Respond to phone, email and mail inquiries from FPPC regarding referral • Continue communication with FPPC until the referral is closed by the FPPC
<p>Step 13: FPPC Analyst</p>	<p>Manage referral</p> <ul style="list-style-type: none"> • Continue communication with PRD Word Processor to obtain needed information • Close referral <p>END 5: PROCESS FPPC REFERRAL</p>



Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> • A form is received that requires correspondence with a filer (Fine due, Waiver, Sendback) OR • A Lobbyist Statement form is received OR • An FPPC referral is received from Non-Filer Desk
Frequency	Ongoing based on number of forms/correspondence/referrals received.
Actors	<ul style="list-style-type: none"> • PRD Word Processor • Filer • PRD Public Desk Intake Processor • FPPC Case Manager
Inputs	<ul style="list-style-type: none"> • Late Form requiring a fine • Waiver request • Non-compliant form • Amendment of the above three forms • Filer correspondence regarding any of the above three forms • Lobbyist Statements • Referrals to FPPC • FPPC Correspondence (mail, email, phone)
Outputs	<ul style="list-style-type: none"> • 1st, 2nd and 3rd Notice of Fine Due • Waiver correspondence • Non-compliance Correspondence • Sendbacks (local, missing signature and non-State required statements such as Federal or FPPC forms) • Prepared Lobbyist Statements • FPPC Correspondence (mail, email, phone)
Regulations/Policies	Government Code Section 85200, including regulations.
Constraints	No constraints identified.
Issues	<ul style="list-style-type: none"> • Returned Mail – the process for returned mail does not have adequate automation for tracking and resolution. Returned mail is routed to the Fine Desk for re-mailing. Undeliverable mail cannot always be resolved. Re-mailed notices are also saved correspondence in AMS under the filer's ID #. There is currently no option in the drop-down menu of the Description tab that distinguishes if the letter is a re-mail. It is usually noted in the Comments that it is a re-mailed notice. • AMS does not adequately support the tracking of notices. Automated support is needed for tracking aging notices (30, 60 and 90 days), In addition, escalation and notification to SOS users of aged notices and actions required is needed.
Current Technology	<ul style="list-style-type: none"> • Shared Drive – for storing scanned copies of forms • Microsoft Word – for generating correspondence



	<ul style="list-style-type: none">AMS – for generation of fine notices
Sub-Processes	No sub-processes identified
Workarounds	No workarounds identified
Exceptions	Non E-Filer correspondence – Filers are evaluated to determine whether they had an obligation to file but failed to file. 1st and 2nd Notices were formerly managed by PRD Word Processor; more recently managed by PRD Public Desk; currently this process is inactive.



III.8 Process 8: Compliance – PDATA Transactions

III.8.1 Fees/Penalties Collections

Purpose

This process describes the activities and actions that occur when PRD attempts to collect Annual Fees and associated Penalties.

Process Description

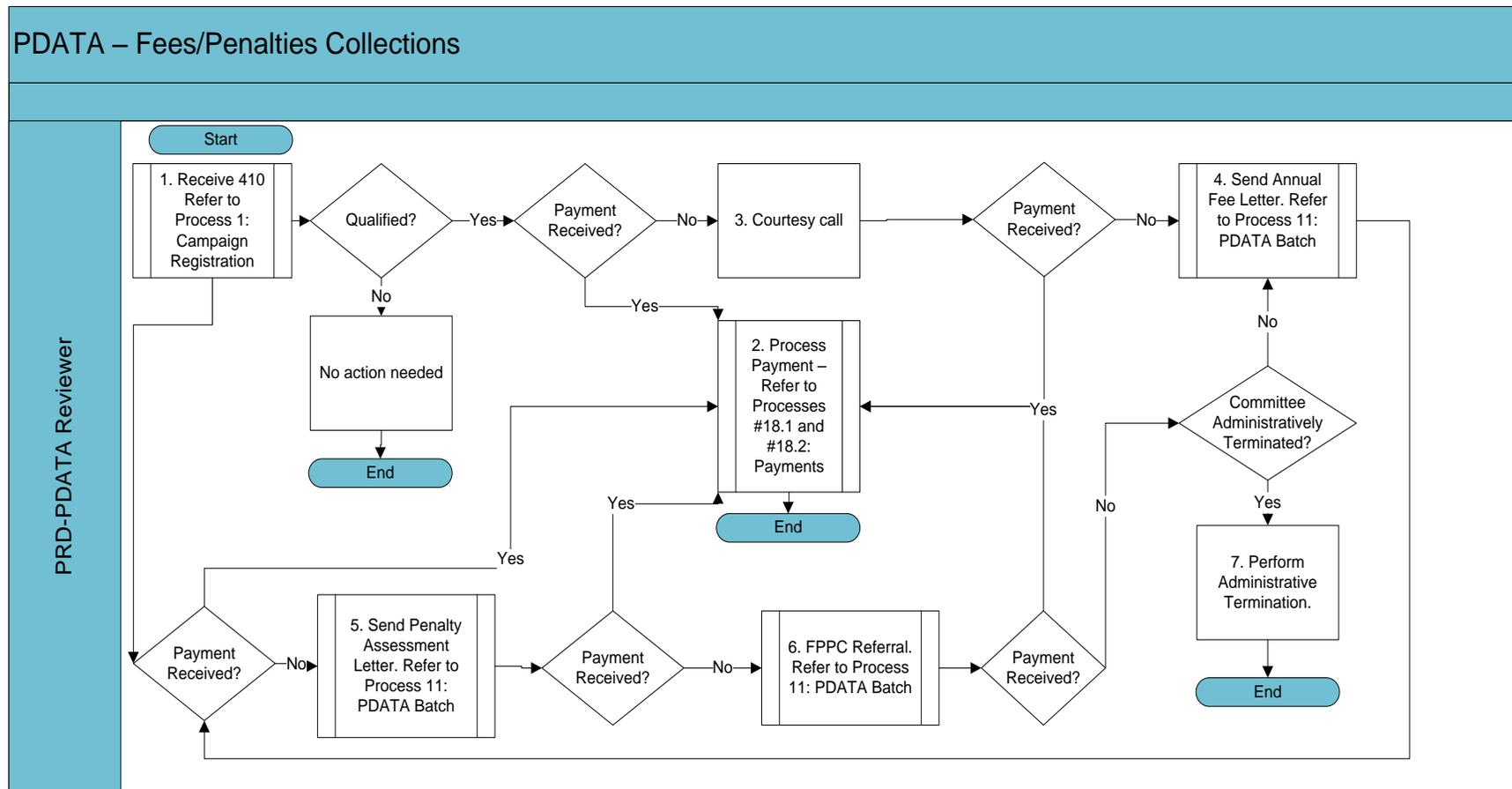
A committee must pay an Annual Fee once it has received \$2,000 in cash or in-kind contributions. At this point, the committee is considered “qualified” and is assessed a \$50 annual filing fee. PRD assesses the \$50 annual fee when the committee reports it has qualified. PRD imposes Penalties if fee payment is late or not received. This section explains the collections process, which (following the path of payments not received), includes a courtesy call, Annual Fee letter, Penalty Assessment letter, and referral to FPPC. The FPPC may direct PRD to administratively terminate a committee; if not, then the process re-iterates beginning with the Annual Fee Letter. PRD creates a receipt and posts the payment when received at any time during this process.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to complete Fees/Penalties Collection activities.

Figure 13: Process 8.1 PDATA – Fees/Penalties Collection





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> A Recipient Committee has formed and is required to meet registration and filing responsibilities 	
Step 1: PRD-PDATA Reviewer	Receive 410 Refer to Process 1: Campaign Registration <ul style="list-style-type: none"> Refer to Process 1: Filer Account Setup/Registration for specific processing steps <ul style="list-style-type: none"> If the committee is not qualified, no action is needed <ul style="list-style-type: none"> If PRD receives an Annual Fee payment, process the payment as indicated in Step 2 If the committee is qualified and PRD receives the Annual Fee payment, then process payment as indicated in Step 2 If the committee is qualified and PRD does not receive the Annual Fee payment, go to Step 3
Step 2: PRD-PDATA Reviewer	Process Payment – Refer to Processes 18.1 and b: Payments <ul style="list-style-type: none"> If payment is received at any point in this process, refer to this step Refer to Process 18.1: Receiving Payments and Process #18.2: Posting Payments for specific processing steps
Step 3: PRD-PDATA Reviewer	Make a courtesy call <ul style="list-style-type: none"> Contact the committee Treasurer, Candidate (or other designated Officer) by phone as a reminder that the Annual Fee payment is due and payable <ul style="list-style-type: none"> If payment is received, go to Step 2 If payment is not received, go to Step 4
Step 4: PRD-PDATA Reviewer	Send Batch Annual Fee Letter. Refer to Process 11: PDATA Batch <ul style="list-style-type: none"> Refer to process 11: PDATA Batch for specific processing steps to produce the Annual Fee letter <ul style="list-style-type: none"> If payment received, go to Step 2 If payment not received, go to Step 5
Step 5: PRD-PDATA Reviewer	Send Penalty Letter. Refer to Process 11: PDATA Batch <ul style="list-style-type: none"> Refer to process 11: PDATA Batch for specific processing steps to produce the Penalty letter <ul style="list-style-type: none"> If payment received, go to Step 2 If payment not received, go to Step 6
Step 6: PRD-PDATA Reviewer	Refer to FPPC Refer to Process 11: PDATA Batch <ul style="list-style-type: none"> Refer to process 11: PDATA Batch for specific processing steps to refer the committee to FPPC <ul style="list-style-type: none"> If payment received, go to Step 2 If payment not received, and the FPPC has not provided direction for administrative termination, go to Step 4 and re-iterate steps until payment is made, or committee has been administratively terminated If payment not received, and the FPPC has provided direction for administrative termination, go to Step 7
Step 7: PRD-PDATA Reviewer	Perform Administrative Termination <ul style="list-style-type: none"> In AMS, enter the administrative termination for the appropriate committee record <ul style="list-style-type: none"> Locate and obtain the Form 410's for the terminated



STEPS/ACTORS	DIRECTION
	committee <ul style="list-style-type: none"> ○ Set the Review status to “Complete” ○ In AMS, reverse the annual fees and penalties, (including those for prior years) as these are waived <ul style="list-style-type: none"> ▪ These waived fees and penalties are tracked, as they may be re-assessed to a committee if it reactivates with the same FPPC ID# with FPPC approval ▪ If a committee reapplies as a new filer, and obtains a new FPPC ID#, these fees are not re-assessed

Process Narrative Table

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Campaign committees are required to pay an Annual Fee. These actions occur when a committee has failed to pay this fee, or has paid it late, incurring penalties.
Frequency	<p>The Annual Fee is due within 30 days of a committee meeting the “qualified” criteria. This occurs throughout the year, as committees register or file amendments. PRD mails Batch Annual Fee letters in Mid-November for the ensuing year’s Fee. For 2016, PRD mailed approximately 8,000 Batch Annual Fee letters.</p> <p>PRD typically generates the primary Penalty Assessment Report once per year; and mailed approximately 2,000 Penalty Assessment letters in 2016. PRD also runs a smaller batch process approximately quarterly to capture mid-term registrants who do not pay the annual fee.</p> <p>PRD runs the FPPC Referral Report once per year. In 2016, approximately 1,000 filers were referred to FPPC.</p>
Actors	PRD staff <ul style="list-style-type: none"> • PDATA Reviewer
Inputs	<ul style="list-style-type: none"> • Form 410 • Annual Fee Payment
Outputs	<ul style="list-style-type: none"> • Exported report files from AMS (text and excel formats) for all three reports • Batch Annual Fee letters • Penalty Assessment letters • FPPC Referral List
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997)
Constraints	No constraints identified.
Issues	No issues identified.
Current Technology	<ul style="list-style-type: none"> • AMS for PRD data entry, report generation and correspondence templates • Microsoft Word – mail merge • Microsoft Excel for the mail merge source file and FPPC list



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> PRD shared drive – correspondence template
Sub-Processes	No sub-processes identified.
Workarounds	No workarounds identified.
Exceptions	No exceptions identified.

III.8.2 Waiver Requests

Purpose

This process describes the activities and actions that occur when PRD processes a request from a campaign committee to waive Annual Fees and/or Penalties.

Process Description

A committee who has been assessed an Annual Fee and/or penalties may request to have them waived. This process may be initiated by a verbal or written request from the committee, or as a result of a phone conversation between the committee Treasurer (or designated Officer) and the PRD PDATA reviewer. Upon PRD request, the committee must provide documentation or verifications to support the waiver request. Once received, the PRD PDATA reviewer composes an email with the waiver request, explanation of circumstances and supporting documentation/verification. FPPC will notify the PRD PDATA reviewer upon approval of the waiver request. There is no specified timeframe for this decision to occur; FPPC processes the requests as they can.

PRD has the authority to waive penalties and/or fees if:

- they are due to a clerical error, or
- the committee terminates prior to the effective date of the fee/penalty (voluntarily or via administrative termination), or
- a payment to SOS-PRD is erroneously presented to the Franchise Tax Board (FTB) who will cash the check, but the payor PRD record is not updated

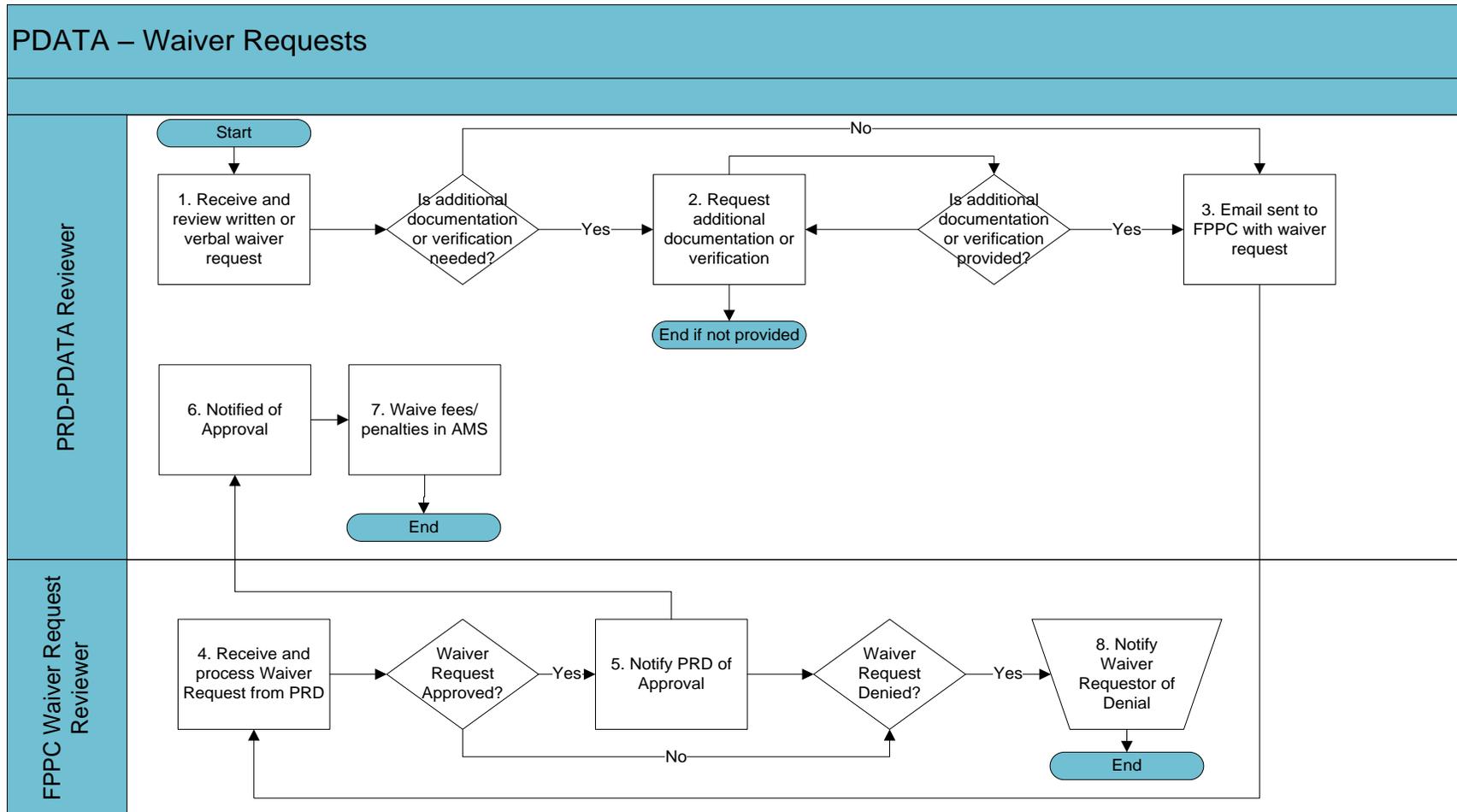
FPPC, at their discretion, may waive penalties in other situations.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to complete Waiver Request.

Figure 14: Process 8.2 PDATA – Waiver Requests





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> A committee has submitted a request to have fees and/or penalties waived 	
Step 1: PRD-PDATA Reviewer	Receive and review written or verbal waiver request <ul style="list-style-type: none"> Upon receipt of a written or verbal request for a waiver, examine available information and determine if there is sufficient documentation and/or verification If FPPC approval is needed for the waiver, go to Step 2 If PRD approval for the waiver is sufficient, go to Step 7 Log the request on the FPPC Referral List located on the shared drive at: PRD -> Projects -> SB 1001 -> 2015 FPPC Referral -> 2015 FPPC Referral List.xlsx (prior year)
Step 2: PRD-PDATA Reviewer	Request additional documentation or verification <ul style="list-style-type: none"> If PRD needs more information, request additional documentation or verification needed to support the waiver request If PRD does not need more information, or the committee provides the requested information, go to Step 3 If the committee does not provide the requested information, the PDATA reviewer continues to request information until it is received <ul style="list-style-type: none"> PRD does not submit the waiver request until this information is received
Step 3: PRD-PDATA Reviewer	Email sent to FPPC with waiver request <ul style="list-style-type: none"> Send the waiver request along with the circumstances regarding the waiver request and supporting documentation and/or verification to FPPC via email <ul style="list-style-type: none"> FPPC does not have any established timeframes for processing waiver requests
Step 4: FPPC Waiver Request Reviewer	Receive and process Waiver Request from PRD <ul style="list-style-type: none"> Receive the waiver request and supporting documentation Evaluate the request for approval or denial <ul style="list-style-type: none"> If approved, go to Step 5 If denied, go to Step 8
Step 5: FPPC Waiver Request Reviewer	Notify PRD of Approval <ul style="list-style-type: none"> Email PDATA with the approval decision
Step 6: PRD-PDATA Reviewer	Notified of Approval <ul style="list-style-type: none"> Receive email notification of waiver request approval
Step 7: PRD-PDATA Reviewer	Waive fees/penalties in AMS <ul style="list-style-type: none"> In AMS, enter the waiver: <ul style="list-style-type: none"> Navigate to the Financial History screen (File -> Open -> Fines, select Post Waiver/Edit Waiver) Enter the FPPC ID# to locate the record Select and click on the appropriate line item in the Fiscal Tab. Click New Waiver <ul style="list-style-type: none"> Waiver Indicator = Waived Waiver Date = date one day before the fee due date (e.g. 1/14/2016)



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> ▪ Update and confirm • Reverse the payment: <ul style="list-style-type: none"> ○ For the same FPPC ID#, view the Fine History ○ Select and click on the appropriate line item ○ Click Delete Row button ○ Update and confirm <ul style="list-style-type: none"> ▪ This action results in a permanent deletion; this information is not recoverable
Step 8: FPPC Waiver Request Reviewer	Notify Waiver Requestor of Denial <ul style="list-style-type: none"> • Notify the committee that the waiver request was denied

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> • A committee submits a request to waive fee(s) and/or penalties. <ul style="list-style-type: none"> ○ Waiver reasons may include, but are not limited to: <ul style="list-style-type: none"> ▪ A candidate is deceased ▪ Returned Mail ▪ Payment was made in a timeframe reasonable to the due date (e.g. within 30 days) ▪ Committee terminated prior to the annual fee due date. ▪ Administrative Termination ▪ Clerical error
Frequency	<p>Waiver requests are received infrequently – approximately 5 per month. PDATA is currently working with FPPC to clean up a backlog of waiver requests.</p> <p>From 6/2016 through 8/2016, approximately 700 Terminations (including Administrative Terminations) for which fees and penalties were waived. There are approximately 300 Administrative Terminations remaining in the backlog.</p>
Actors	FPPC PRD <ul style="list-style-type: none"> • PDATA Reviewer
Inputs	<ul style="list-style-type: none"> • Waiver request (verbal or written) • Supporting documentation or information submitted by the committee • Waiver approval notification from FPPC
Outputs	Email to FPPC.
Regulations/Policies	<p>Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).</p> <p>Within the PRA, there is no process to waive fees or penalties. This is done at the discretion of, and as allowed by FPPC.</p>
Constraints	<ul style="list-style-type: none"> • When entering the waiver request into AMS, the waiver date must be entered as the date one day prior to when the annual



PROCESS NARRATIVE	
	fee is due <ul style="list-style-type: none"> ○ This is to accommodate AMS system coding; typically a waiver date could be expected to be a date related to when the waiver was filed or disposed (e.g. approved or denied)
Issues	No established timeframes for FPPC reviewing/responding to waiver requests. PRD-PDATA must keep contacting them (via phone or email) to try and obtain a response, which impacts the PDATA workload.
Current Technology	<ul style="list-style-type: none"> • AMS for PRD data entry • MS Excel for Waiver Request spreadsheet (located on shared drive)
Sub-Processes	No sub-processes identified.
Workarounds	No workarounds identified.
Exceptions	No exceptions identified.

III.8.3 Dishonored Checks

Purpose

This process describes the activities and actions that occur when a check received by PRD-PDATA is returned by the payee’s financial institution. Dishonored checks are processed through the Secretary of State’s Fiscal Department.

Process Description

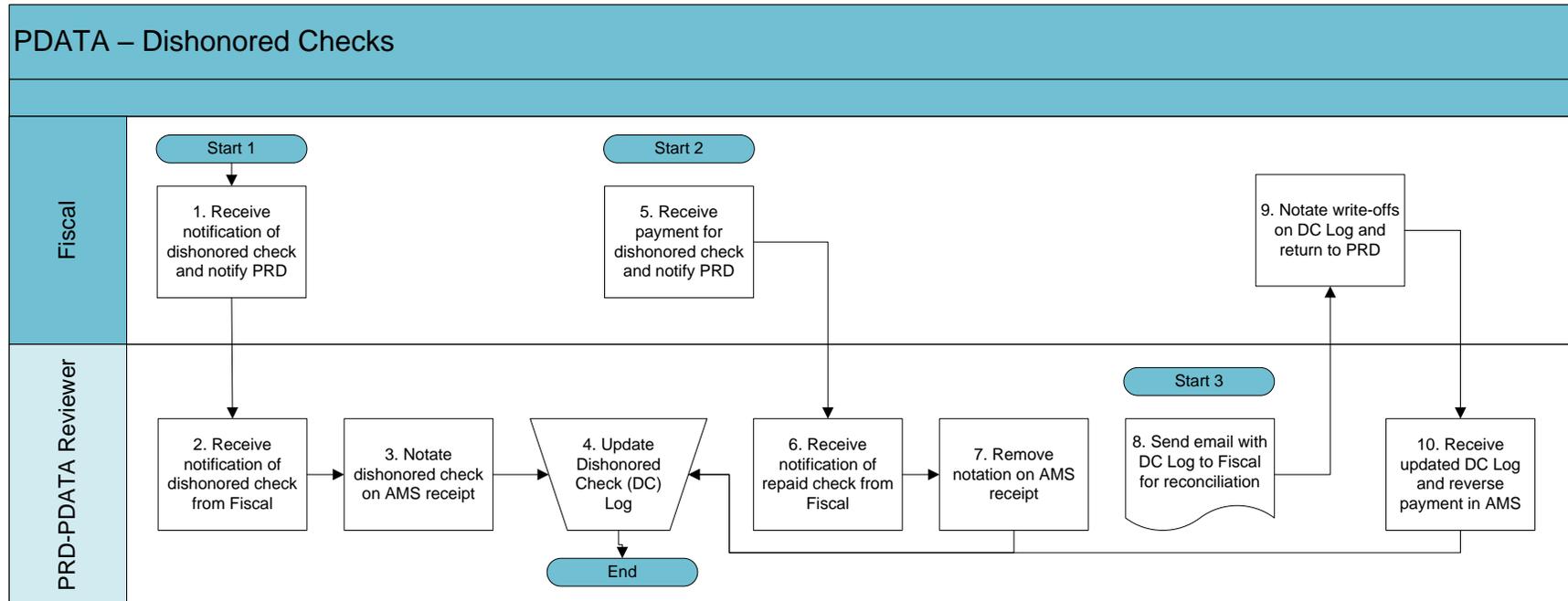
The SOS Fiscal department receives notification that a check submitted as payment to PRD has been returned by the payee’s financial institution and , in turn, informs PRD. The PDATA reviewer accesses the corresponding AMS receipt and adds a comment indicating the check was returned. PRD maintains a Dishonored Check Log in MS Excel format on the shared drive to track all PRD dishonored checks. Fiscal is responsible for collection efforts, and will notify PRD when the dishonored check has been repaid. At that time, PRD will update the Dishonored Check Log with this information. PRD will reverse the payment in AMS when notified that Fiscal has written off the payment.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities when a check is returned as “dishonored.”

Figure 15: Process 8.3 PDATA – Dishonored Checks





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> PRD has been notified by SOS-Fiscal that a check used as payment to PRD has been returned as dishonored 	
Step 1: SOS-Fiscal	START 1 Receive notification of dishonored check and notify PRD <ul style="list-style-type: none"> Receive notification from financial institution that a check submitted as payment to PRD has been returned as dishonored <ul style="list-style-type: none"> Fiscal is responsible for collection efforts Send notification via email to PRD –PDATA Reviewer with an attachment that includes <ul style="list-style-type: none"> FPPC ID# DC (Dishonored Check) Invoice # (assigned by Fiscal) Payee (<i>should be payor</i>) Amount
Step 2: PRD-PDATA Reviewer	Receive notification of dishonored check from Fiscal <ul style="list-style-type: none"> Receive email and attachment from Fiscal
Step 3: PRD-PDATA Reviewer	Notate dishonored check on AMS receipt <ul style="list-style-type: none"> In AMS, locate and open the receipt corresponding to the dishonored check in modify mode Enter the comment “Returned Check” on the receipt
Step 4: PRD-PDATA Reviewer	Update Dishonored Check (DC) Log <ul style="list-style-type: none"> Navigate to the Dishonored Check Log and enter the data provided by Fiscal as well as the AMS Receipt number and comments, if needed <ul style="list-style-type: none"> The Dishonored Check Log is located on the shared drive at Projects -> SB1001-> Dishonored Checks
Step 5: SOS-Fiscal	START 2 Receive payment for dishonored check and notify PRD <ul style="list-style-type: none"> If repayment is received for the dishonored check, send notification via email to PRD-PDATA Reviewer with an attachment that includes: <ul style="list-style-type: none"> Repayment Date Amount
Step 6: PRD-PDATA Reviewer	Receive notification of repaid check from Fiscal <ul style="list-style-type: none"> Receive email and attachment from Fiscal
Step 7: PRD-PDATA Reviewer	Remove notation on AMS receipt <ul style="list-style-type: none"> In AMS, locate and open the receipt corresponding to the dishonored check in modify mode Remove the comment “Returned Check” from the receipt Return to Step 4 to update the Dishonored Check Log
Step 8: PRD-PDATA Reviewer	START 3 Send email with DC Log to Fiscal for reconciliation <ul style="list-style-type: none"> Send an email with a copy of the Dishonored Checks Log containing checks returned more than 90 days prior to Fiscal <ul style="list-style-type: none"> This is done periodically, typically once per quarter
Step 9: SOS-Fiscal	Notate write-offs on DC Log and return to PRD <ul style="list-style-type: none"> Highlight the Dishonored Checks on the log that Fiscal has written off



STEPS/ACTORS	DIRECTION
	as uncollectable <ul style="list-style-type: none"> Return the notated DC Log to PRD
Step 10: PRD-PDATA Reviewer	Receive updated DC Log and reverse payment in AMS <ul style="list-style-type: none"> Receive the notated DC Log from Fiscal In AMS, reverse the payment <ul style="list-style-type: none"> Search for filer by ID# Navigate to the Financial tab Click to select the payment to be reversed The page will then display the payment detail information Click the Back Out Payment button <ul style="list-style-type: none"> A sub window will inform of the new balance and ask for confirmation to save Return to Step 4 to update the Dishonored Check Log

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	SOS- Fiscal receives notification that a check received as payment by PRD has been returned as dishonored by the payor's financial institution.
Frequency	Approximately 30 dishonored checks are received each year; of this total, less than 1% of these checks are written-off by Fiscal.
Actors	SOS-Fiscal PRD staff <ul style="list-style-type: none"> PDATA
Inputs	<ul style="list-style-type: none"> Email notification from Fiscal that a check is dishonored Email notification from Fiscal that a dishonored check has been resolved Email notification from Fiscal with Dishonored Check Log that is notated to show write-offs
Outputs	<ul style="list-style-type: none"> MS Excel spreadsheet used for Dishonored Check Log FPPC Referral
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints identified.
Issues	<ul style="list-style-type: none"> If PRD doesn't receive a response from Fiscal, time must be spent following up to learn about action taken on dishonored checks (e.g. repayment, write-off) PDATA tracks all PRD dishonored checks <ul style="list-style-type: none"> The Fines Desk, Lobbying and Public Area are notified that a dishonored check was received
Current Technology	<ul style="list-style-type: none"> AMS notating receipt (or removing notation) and report generation Microsoft Excel for the dishonored check tracking log
Sub-Processes	No sub-processes identified.



PROCESS NARRATIVE

Workarounds	No workarounds identified.
Exceptions	No exceptions identified.

III.8.4 Returned Mail

Purpose

This process describes the activities and actions that occur when correspondence is returned to PRD as undeliverable.

Process Description

The Secretary of State Mail Room receives undeliverable PRD-generated correspondence that is returned by the postal service. The Mail Room forwards these items to PRD, for logging in a Returned Notice Tracking MS Access database. Per PRD business rules, receipt of returned mail does not preclude or prevent further mail from being sent to the original mail recipient, nor does it result in a status change (e.g. active, inactive, suspense, etc.) for the filer.

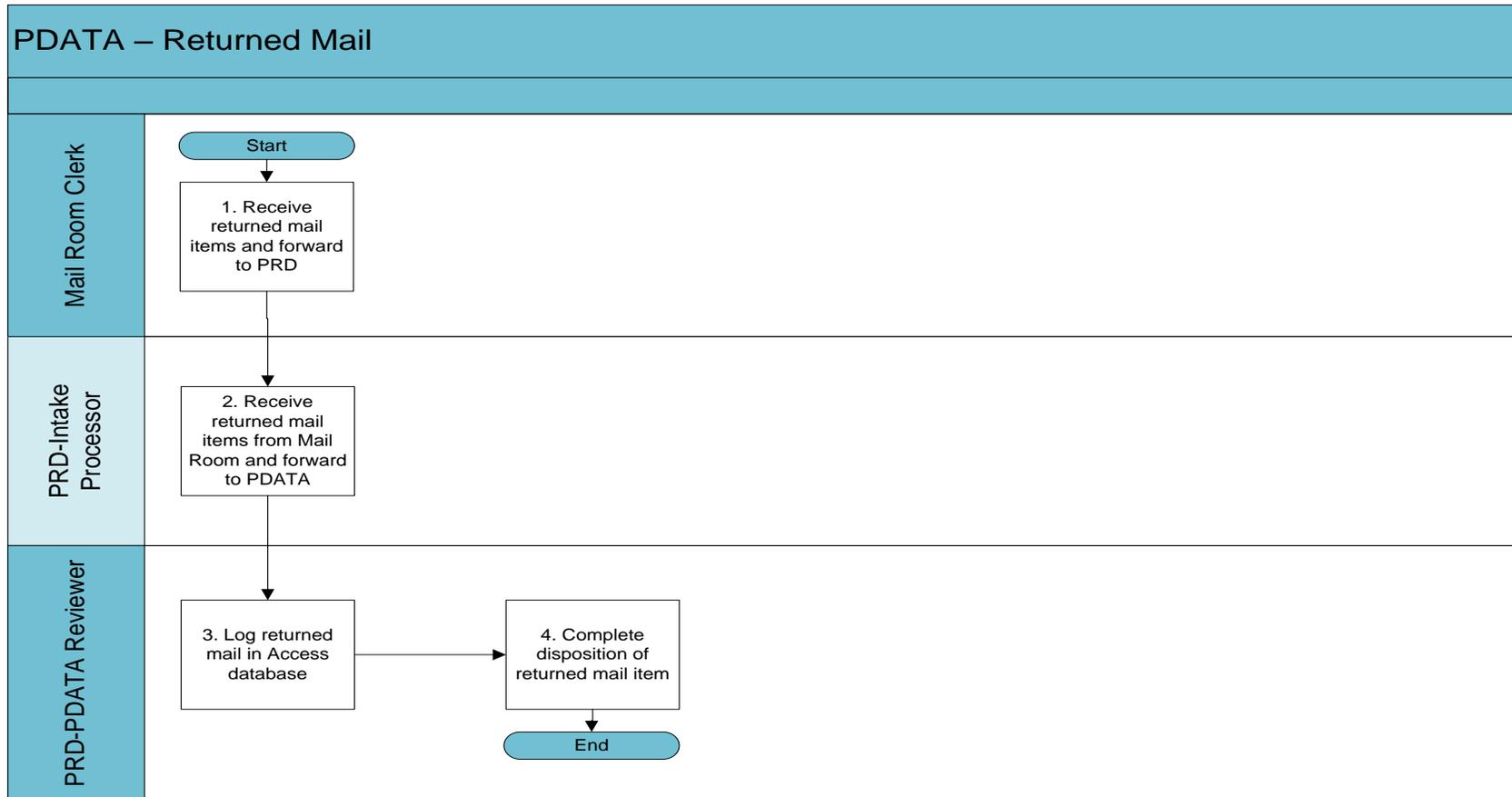
This process refers only to PDATA, as the other desks (e.g. Fines, Lobbying, Campaign Review, etc.) individually deal with their returned mail items.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities when mail is returned as undeliverable.

Figure 16: Process 8.4 PDATA – Returned Mail





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions <ul style="list-style-type: none"> The Secretary of State Mail Room has received a mail item returned as undeliverable that was generated as PRD correspondence 	
Step 1: SOS-Mail Room Clerk	Receive returned mail items and forward to PRD <ul style="list-style-type: none"> Receive returned mail items from US Postal Service Sort and deliver appropriate mail items to PRD
Step 2: PRD-Intake Processor	Receive returned mail items from Mail Room <ul style="list-style-type: none"> Receive returned mail items Sort and deliver appropriate mail items to PDATA
Step 3: PRD-PDATA Reviewer	Log returned mail in Access database <ul style="list-style-type: none"> Log the returned mail item in the Return Notice Tracking MS Access database located on the shared drive at: Projects -> SB1001 Pull the filer's Form 410 and compare address of filings to returned mail item <ul style="list-style-type: none"> If a newer address is on file, re-mail the correspondence to the new address If there is no new address on file, contact the filer by email or phone and advise that an amended Form 410 must be filed with an updated address <ul style="list-style-type: none"> If an email address is available, scan the returned mail (including envelope) and email to the filer
Step 4: PRD-PDATA Reviewer	Complete disposition of returned mail item <ul style="list-style-type: none"> Returned mail items are bundled together by returned mail date in order by FPCC ID# and boxed

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	SOS- Mail Room receives a mail item that has been returned by the US Postal Service as undeliverable.
Frequency	The largest volumes of returned mail occur in response to mass mailings of correspondence generated by batch run. Otherwise, returned mail is received sporadically.
Actors	SOS-Mail Room PRD staff <ul style="list-style-type: none"> Public Area PDATA
Inputs	Returned mail item.
Outputs	MS Access Return Notice Tracking database.
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints identified.



PROCESS NARRATIVE	
Issues	<ul style="list-style-type: none">• PRD cannot change an address in AMS until an amended Form 410 is received (with a wet signature)• The volume of repeat returned mail could be lowered if the system could be configured to prevent mailings when a to-be-determined number of return mail has been received• An estimated 95% of PDATA returned mail belongs to local filers who are not required to file at the state level. Recommend a process to constrain and reduce these mailings
Current Technology	Microsoft Access for the Returned Mail Tracking database.
Sub-Processes	<ul style="list-style-type: none">• Returned mail processed by other PRD staff• Addresses of sent mail bulk loaded into the MS Access Return Notice Tracking database
Workarounds	<ul style="list-style-type: none">• A Microsoft Access database is used to accommodate AMS deficiencies in handling returned mail information (e.g. mail returned date, re-mail date, etc.)<ul style="list-style-type: none">○ MS Access has constraints on the amount of data it can reasonably accommodate
Exceptions	No exceptions identified.



III.9 Process 9: Linking Initiatives/Ballot Measures

Purpose

This process describes the activities and actions that occur when PRD enters an initiative into AMS and links it to a Primarily Formed Committee (PFC) for a Ballot Measure and initiative proponent records

Process Description

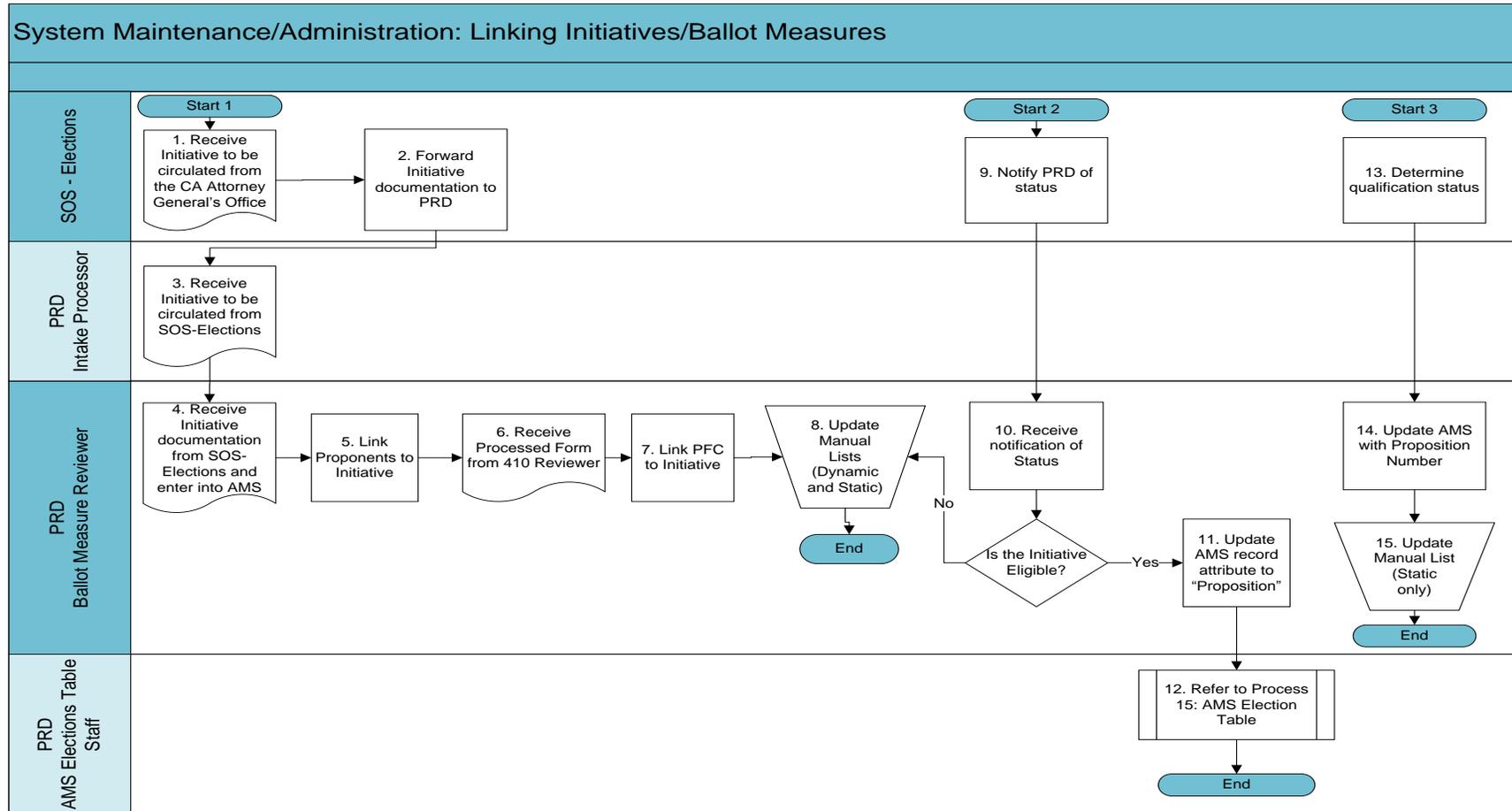
To submit an initiative for placement on a ballot, an individual (or individuals) must file an application with the Attorney General's (AG) office, along with the proposed initiative. The AG's office prepares the initiative for circulation, i.e. assigning a number, circulating title and summary, publishing the initiative on the AG website to meet a 30-day review process, and forwarding the initiative to the Secretary of State – Elections Division. The SOS – Elections Division prepares the schedule of dates applicable to the initiative's activities and receives petitions gathered and validated at the county level to determine whether the initiative has met the criteria to qualify. The SOS – Political Reform Division (PRD) is notified of this information that is entered into AMS. PRD links PFCs and initiative proponents to the appropriate initiatives. Upon qualifying, Elections assigns an official Ballot Measure name and number to the initiative, and this information is updated in AMS.



Process Flow Diagram

This figure represents the actions taken by PRD to communicate with filers and the FPPC regarding non-compliant forms and other correspondence.

Figure 17: Process 9 Linking Initiatives/Ballot Measures





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions <ul style="list-style-type: none"> • The Attorney General's office has received a ballot initiative submitted by one or more individuals • The initiative has an AG number • The initiative has been published on the AG's website, completed the 30-day public review process and is cleared for circulation • The AG has submitted the initiative to the Secretary of State – Elections Division • All Form 410s (initial, amendment and termination) for Primarily Formed Committees (PFCs) submitted to the Ballot Measure Reviewer have been reviewed by their respective Campaign Registration Reviewers 	
Step 1: SOS-Elections	START 1 Receive Initiative to be circulated from the CA Attorney General's Office <ul style="list-style-type: none"> • The initiative includes the AG's number, circulating title and summary • Assign an internal number and publish the initiative on the Elections website • Prepare the Dates and Schedule for qualification activities
Step 2: SOS-Elections	Forward Initiative documentation to PRD <ul style="list-style-type: none"> • Provide a hard copy of this document to PRD
Step 3: PRD Intake Processor	Receive Initiative to be circulated from SOS-Elections <ul style="list-style-type: none"> • Receive the submitted initiative documents from SOS-Elections • Perform tasks detailed in Process #23 Intake (Receipt of Documents) <ul style="list-style-type: none"> ○ Forward initiative documents to SOS-PRD Ballot Measure Reviewer
Step 4: PRD Ballot Measure Reviewer	Receive Initiative documentation from SOS-Elections and enter into AMS <ul style="list-style-type: none"> • Enter the initiative into AMS
Step 5: PRD Ballot Measure Reviewer	Link Proponents to Initiative <ul style="list-style-type: none"> • Locate the appropriate individual record in AMS representing the initiative's proponent(s) <ul style="list-style-type: none"> ○ Create new records, if needed • All of the individual proponent records must be linked to the initiative
Step 6: PRD Ballot Measure Reviewer	Receive processed form from 410 reviewer <ul style="list-style-type: none"> • Receive the submitted Form 410
Step 7: PRD Ballot Measure Reviewer	Link PFC to Initiative <ul style="list-style-type: none"> • Locate the appropriate PFC record in AMS • Link the PFC record to the initiative
Step 8: PRD Ballot Measure Reviewer	Update Manual Lists (Dynamic and Static) <ul style="list-style-type: none"> • Navigate to the shared drive and open the Word document "Initiatives and Referenda in Circulation." This is a dynamic list that must be updated manually. The information on this list is published to the PRD website <ul style="list-style-type: none"> ○ Add new initiatives



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> ○ Add Committees to the initiatives, when known <p>Navigate to the shared drive and open the Word document “Initiatives from 1995 to Present.” This is a static list that must be updated manually</p> <ul style="list-style-type: none"> ○ Add new initiatives ○ Update information, (other than qualification status, ballot name and number), when needed ○ Add committees formed to support or oppose the initiative ○ Update committee status (e.g. committee has terminated or no longer supports/opposes the initiative)
Step 9: SOS-Elections	<p>START 2</p> <p>Notify PRD of status</p> <ul style="list-style-type: none"> • Notify the PRD Division Chief via email when an initiative has qualified as a ballot measure <ul style="list-style-type: none"> ○ The PRD Division Chief disseminates this information to PRD staff • Release status of qualified, failed or withdrawn via RSS feed, which is accessed by PRD Reviewer who subscribes to this RSS feed and receives email notification
Step 10: PRD Ballot Measure Reviewer	<p>Receive notification of status</p> <ul style="list-style-type: none"> • If the status of the initiative is “Eligible,” go to Step 11 • If the status of the Initiative is not “Eligible,” (e.g. withdrawn, failed, etc.), return to Step 8 and update both the dynamic and static manual lists
Step 11: PRD Ballot Measure Reviewer	<p>Update AMS record attribute to “Proposition”</p> <ul style="list-style-type: none"> • Create a new attribute record for the initiative in AMS, changing the record attribute to “Proposition” • Notify the PRD Elections Table Updater (via email) that the Initiative has been updated
Step 12: PRD AMS Elections Table Updater	<p>Refer to Process 15: AMS Election Table</p> <ul style="list-style-type: none"> • Refer to Process 15: System Maintenance/Administration – AMS Election Table
Step 13: SOS-Elections	<p>START 3</p> <p>Determine qualification status</p> <ul style="list-style-type: none"> • If the initiative qualifies (i.e. meets petition signature requirements), then SOS-Elections assigns a proposition name and number <ul style="list-style-type: none"> ○ This occurs several months after Step 9
Step 14: PRD Ballot Measure Reviewer	<p>Update AMS with Proposition Number</p> <ul style="list-style-type: none"> • Create a third AMS attribute record under the same ID# using the proposition name and number as they are shown on the ballot <ul style="list-style-type: none"> ○ Use three (3) digits for the proposition number (e.g., 002, 011, etc.) to ensure correct display on the PRD website
Step 15: PRD Ballot Measure Reviewer	<p>Update Manual List (Static Only)</p> <ul style="list-style-type: none"> • Navigate to the shared drive and open the Word document “Initiatives from 1995 to Present.” This is a static list that must be updated manually <ul style="list-style-type: none"> ○ Update ballot/proposition name and number



Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	PRD receives notification from the SOS-Elections office that an initiative has been cleared for circulation and has started the qualification process. This notification is received via hand-delivery of a hard copy of the initiative documents.
Frequency	Initiatives are received on a flow basis, with no particular pattern.
Actors	<ul style="list-style-type: none"> • Individual proponents of the initiative • California State Attorney General's Office • Secretary of State – Elections Division • Secretary of State – Political Reform Division <ul style="list-style-type: none"> ○ Intake (Public Desk) ○ Ballot Measure Reviewer ○ AMS Election Table Updater
Inputs	<ul style="list-style-type: none"> • Initial initiative documentation via hard copy • Form 410 – Statement of Organization for Primarily Formed Committees (paper form) • Email notification of initiative qualification
Outputs	<ul style="list-style-type: none"> • “Initiatives and Referenda in Circulation” MS Word document located on the shared drive • “Initiatives from 1995 to Present” MS Word document located on the shared drive
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No Constraints identified.
Issues	<ul style="list-style-type: none"> • When entering proposition numbers (which are typically 2 numerical characters), they must be typed as a three-digit number in order for the proposition numbers to properly display on the website. (i.e. Prop No. “11” would display before Prop No. “2”, whereas Prop No. “002” will properly display before Prop No “011” • In AMS, initiatives remain in an “active” status regardless of whether or not they qualify. There is no option to set the qualification status to “Fail” <ul style="list-style-type: none"> ○ There is also no way to search for “Failed” initiatives on the PRD website ○ “Failed” initiatives are not correctly displayed on the PRD website • PRD publishes information on Initiatives and Referenda that are in circulation (not yet qualified). AMS does not have any way to provide this information, so it is manually maintained on a MS Word document located on the shared drive <ul style="list-style-type: none"> ○ This MS Word document is published on the website; however, the committee name is not hyperlinked to the committee record in AMS, so the user cannot view committee information via this page display ○ Much time is spent updating this list (e.g. new initiatives,



PROCESS NARRATIVE	
	<p>associating a committee, changes to the committee name, removing qualified initiatives, etc.) and reconciling to information in AMS</p> <ul style="list-style-type: none"> ○ Once the initiative qualifies and AMS is updated, the record will be correctly displayed on the PRD website based on AMS data (not an external Word document) <ul style="list-style-type: none"> ● Navigation within AMS to reach pages needed to update records is lengthy and slow ● Linking a ballot measure to a committee in AMS does not always work correctly. It should link “ballot measure -> committee” and also as “committee -> ballot measure;” however, one of these paths does not work consistently <ul style="list-style-type: none"> ○ The link description drop list box is blank, but the proponent and initiative can be linked ○ The link description is displayed as “0” on both records in AMS ○ The user has to manually change link to either initiative or proponent on one of the records in AMS ● When submitting the Form 410, a PFC must indicate the initiative the committee supports/opposes. Frequently, the Attorney General # is missing and/or the committee name is too vague to determine the exact initiative to which the committee should be linked. When contacted, the committee treasurer may not be able to provide sufficient information to determine the correct initiative (especially when there are several similar initiatives proposed) <ul style="list-style-type: none"> ○ Sometimes, a subsequently filed Form 460 will provide sufficient information to identify the initiative; however, much time and effort is spent doing this research ● AMS does not provide the functionality to de-link a proponent from an initiative
Current Technology	<ul style="list-style-type: none"> ● AMS for PRD data entry ● Shared Drive (contains manual lists “Initiatives and Referenda in Circulation” and “Initiatives from 1995 to Present”)
Sub-Processes	<ul style="list-style-type: none"> ● Linking Referenda ● Additional situations requiring manual update of dynamic and static lists (e.g. terminations, no longer support, etc.)
Workarounds	<ul style="list-style-type: none"> ● Problem: linking an initiative to a proponent. AMS does not allow the user to link an initiative to a proponent when the filer type is initiative <ul style="list-style-type: none"> ○ WORKAROUND: Link the proponent from the initiative record page ● AMS does not provide the functionality to de-link a committee from an initiative if the committee ceases support or opposition <ul style="list-style-type: none"> ○ Note: AMS does allow switching from supporting to opposing and vice-versa. A Form 410 must be received to support this amended information



PROCESS NARRATIVE	
	<ul style="list-style-type: none">○ WORKAROUND: With permission from the Committee's Treasurer, a new committee name may be entered into AMS which indicates, for example, "Committee A no longer supports Initiative 1")<ul style="list-style-type: none">▪ The static list must also be updated to reflect this information
Exceptions	<ul style="list-style-type: none">• Non-PFC's may sometimes contribute substantial amounts of money to support or oppose an initiative. Per FPPC, only PFCs are linked to initiatives, and therefore, the Non-PFC contributions are not published on CAL-ACCESS. In order to publish this information, permission must be granted by the PRD Division Chief to link the committee to the initiative in AMS - sometimes over the objection of the committee which may prefer not to disclose the information<ul style="list-style-type: none">○ This information is also noted on the static list



III.10 Process 10: Vendor Certification

Purpose

This process administers the certification of Vendors filing on behalf of lobbying or campaign filers.

Process Description

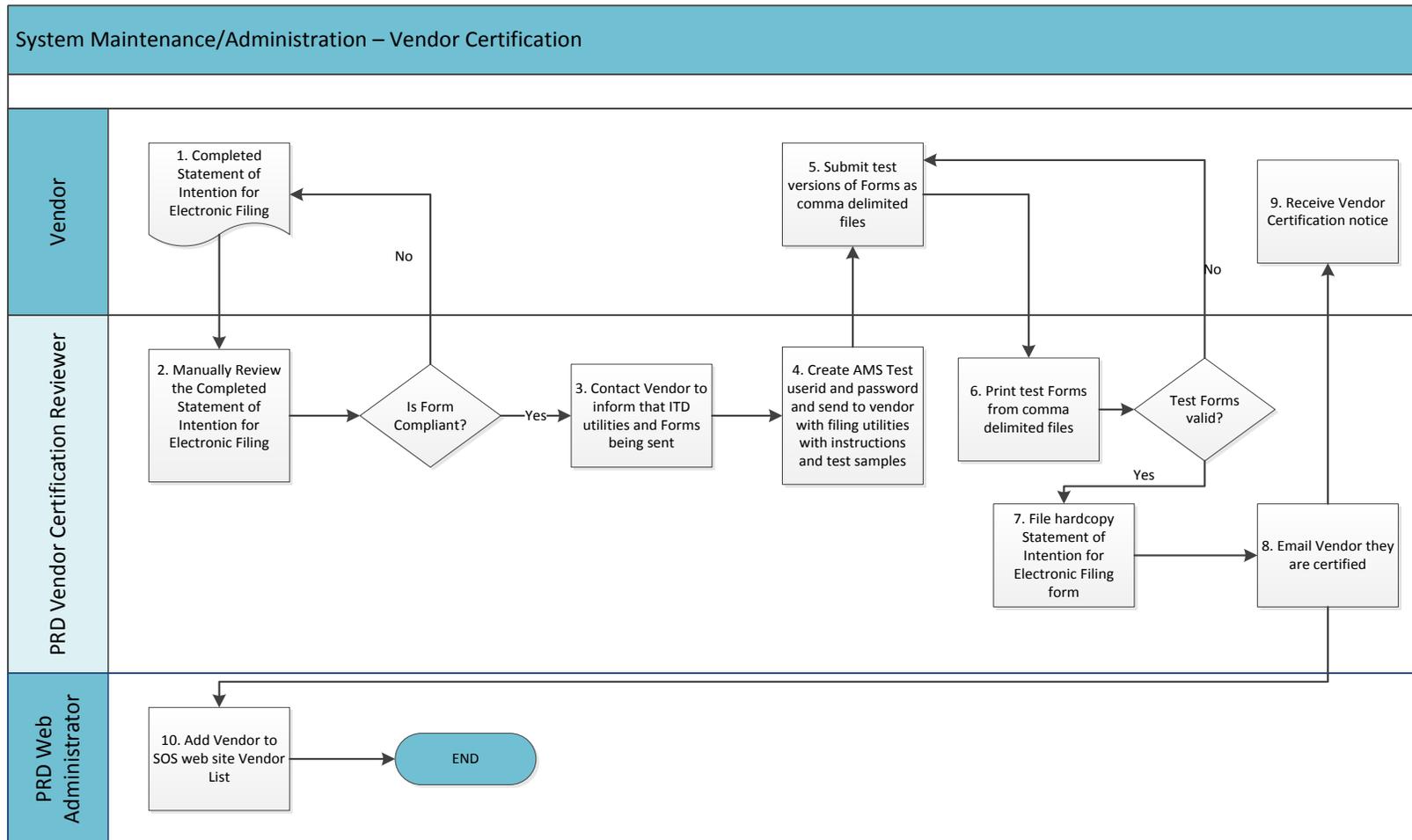
A prospective vendor obtains and submits the Statement of Intention for Electronic Filing form requesting to file for a specific Lobbying and/or Campaign Form or Forms, and also submits a formatted electronic version of each Form for testing by PRD. After successful testing, PRD certifies the vendor and the vendor is then permitted to file. Once certified, the vendor can offer their services to lobbying and campaign filers. A vendor must be certified for each form they wish to file. Vendors are listed on the SOS web site. There is no vendor recertification process, unless the information changes on a form, then the Vendor may have to recertify for that particular form.



Process Flow Diagram

The following diagram represents actions taken by various individuals/entities to certify vendors to submit electronic forms.

Figure 18: Process 10 Vendor Certification





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: None	
Step 1: Vendor	Completed Statement of Intention for Electronic Filing <ul style="list-style-type: none"> Vendor submits the Statement of Intention for Electronic Filing form
Step 2: PRD Vendor Certification Reviewer	Manually review the Statement of Intention for Electronic Filing <ul style="list-style-type: none"> Reviews the Statement of Intention for Electronic Filing form Contacts the Vendor via phone or email and specifies error(s) if form is not compliant
Step 3: PRD Vendor Certification Reviewer	Contact Vendor to inform that ITD utilities and Forms being sent <ul style="list-style-type: none"> Informs the Vendor via phone or email that PRD is sending the ITD utilities and test Forms
Step 4: PRD Vendor Certification Reviewer	Create AMS test user IDs and passwords <ul style="list-style-type: none"> Creates AMS test user IDs and passwords for the Vendor Sends potential Vendor user IDs and passwords, and filing utilities with instructions and test samples
Step 5: Vendor	Submit test versions of the Forms <ul style="list-style-type: none"> Submits test versions of the Forms, created by comma delimited files, to be reviewed
Step 6: PRD Vendor Certification Reviewer	Print test Forms <ul style="list-style-type: none"> Prints test Forms received If the test Forms are not compliant then emails the Vendor stating the errors; back to Step5
Step 7: PRD Vendor Certification Reviewer	File hardcopy Statement of Intention for Electronic Filing form <ul style="list-style-type: none"> If the test Forms are valid, then the reviewer files the hardcopy Statement of Intention for Electronic Filing form
Step 8: PRD Vendor Certification Reviewer	Email vendor they are certified <ul style="list-style-type: none"> If the test Forms are valid then emails the Vendor that they are certified and "cc" PRD Web Administrator
Step 9: Vendor	Receive Vendor Certification Notice <ul style="list-style-type: none"> Receives the vendor certification notice
Step 10: PRD Web Administrator	10. Add Vendor to SOS web site Vendor List <ul style="list-style-type: none"> Adds Vendor to the SOS web site Vendor List



Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Prospective vendor sends a completed hardcopy Statement of Intention for Electronic Filing form.
Frequency	<ul style="list-style-type: none"> PRD receives Statement of Intention for Electronic Filing forms throughout the year, and there is no peak filing period. PRD staff estimates that 5 new vendors are tested per year
Actors	<ul style="list-style-type: none"> Vendor PRD Vendor Certification Reviewer PRD Web Administrator IT Staff, if needed
Inputs	<ul style="list-style-type: none"> Statement of Intention for Electronic Filing hardcopy forms Vendor supplied electronic Forms, as comma delimited files, for testing
Outputs	<ul style="list-style-type: none"> The PRD Vendor Certification reviewer sends email to Vendors to confirm certification The PRD Vendor Certification reviewer sends email to the PRD Web Administrator to request the updating of the list of vendors on the SOS web site
Regulations/Policies	SB 49, Chapter 866, 84602 (b).
Constraints	SB 49, Chapter 866, 84602 (b).
Issues	<ul style="list-style-type: none"> The Forms selected by a Vendor on the Statement of Intention for Electronic Filing form have to be manually scanned and emailed to the Vendor by the PRD Vendor Certification reviewer Approximately 30% of Vendors have difficulty comprehending and processing the Forms The ITD supplied processes aren't stable; communication with ITD is not consistent and there have been instances where the test AMS database has been overwritten after Vendor accounts have been set up, resulting in loss of the accounts for testing Lack of application controls allows Vendors to submit Forms they have not been certified to process Vendors sometimes do not allow their clients to submit all the mandated data, and then the clients contact the PRD Vendor Certification Team for resolution. The resolution has to be between the Vendor and the client Vendors cannot be terminated Vendors can submit filings under a different name than the name they were certified under and SOS is not always able to track which vendor the filing came from There are problems with the print engine and some of the data submitted does not print on the forms



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> • PRD staff does not have the ability to see if vendor software has errors
Current Technology	<ul style="list-style-type: none"> • Prospective Vendors submit electronic comma delimited versions of the Forms they are applying for certification to process, then the PRD Vendor Certification reviewer prints hardcopies for the test runs and validation • When certified the Vendors submit production Forms electronically to SOS; the production Forms can be inquired on in Cal Access and get logged into AMS
Sub-Processes	<ul style="list-style-type: none"> • The prospective vendors submit Statement of Intention for Electronic Filing hardcopy forms • The Vendor Certification reviewer manually checks the validity of the Statement of Intention for Electronic Filing submitted forms, and informs the vendor of errors • The Vendor Certification reviewer sets up the vendor with test AMS access passwords and userid, and sends the vendor the ITD utilities with instructions and copies of the hardcopy forms • The vendor submits electronic forms test versions • The Vendor Certification reviewer manually validates the test forms, and informs the vendor of errors • The Vendor Certification reviewer emails the vendor confirmation of certification • The Vendor Certification reviewer files the Statement of Intention for Electronic Filing hardcopy forms • The Web Administrator adds the vendor to the SOS web site Vendor List
Workarounds	The full Form PDF generator process is not stable and sometimes does not work, in this case the PRD Vendor Certification reviewer has to use another print utility that doesn't print the address fields.
Exceptions	No Exceptions identified.



III.11 Process 11: PDATA Batch Transactions

Purpose

This process describes the activities and actions that occur when generating the three PDATA batch transaction reports:

- The Batch Annual Fee report creates line items in AMS (invoice) and a reminder letter for the \$50 Annual Fee
- The Penalty Assessment report assesses penalty on filers who have not paid the Annual Fee, and those filers who paid after the deadline
- The Referral to FPPC report provides a listing of filers who have not paid the assessed penalty

Process Description

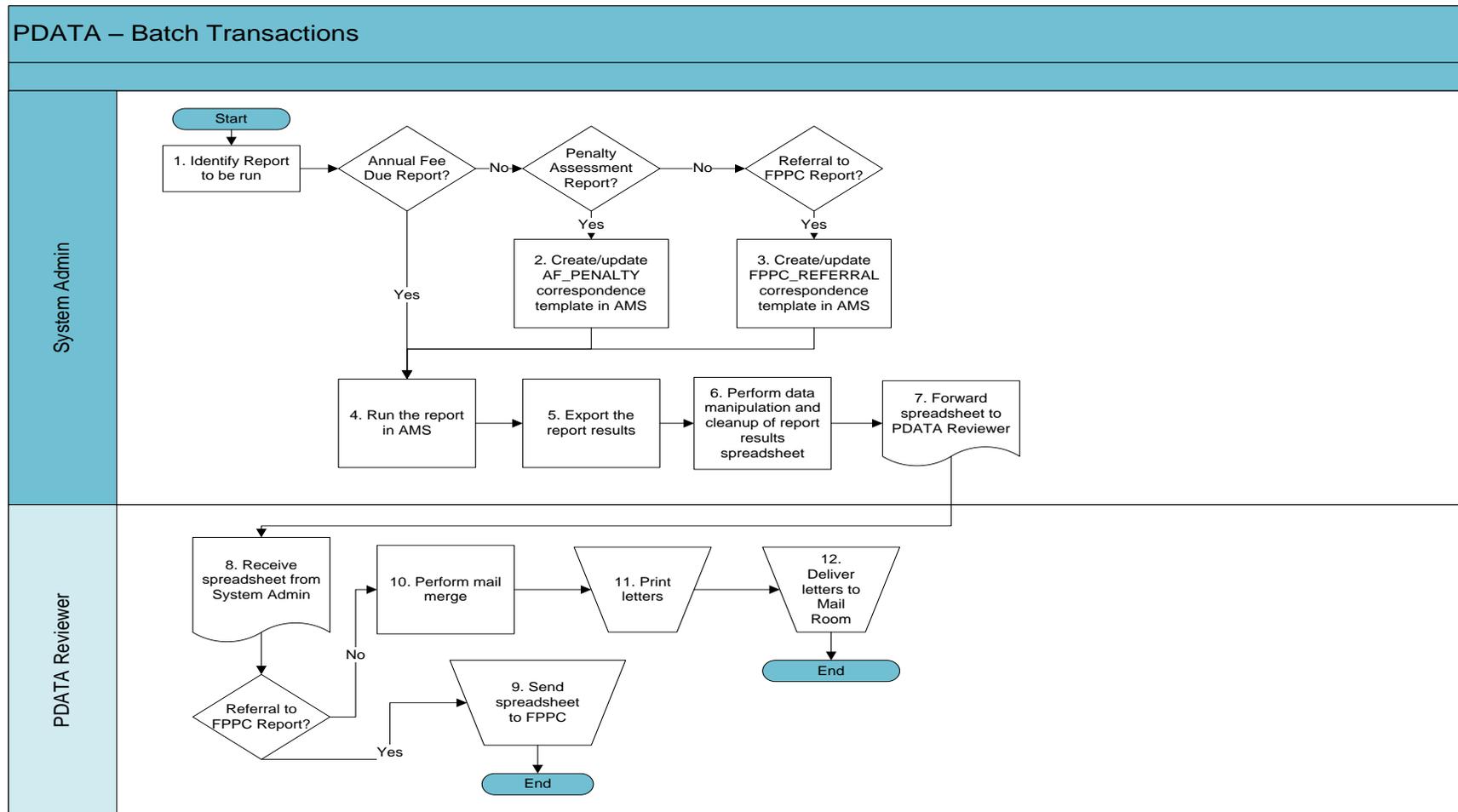
The PDATA desk is responsible for processing Annual Fees assessed to various campaign committees. This includes notification of Annual Fees, assessed penalties, and committee referral to FPPC when fees and fines remain unpaid. These notifications are processed in batch transactions at various times during the year. Effective noticing relies on timely processing of PDATA payments, as well as resolution of any fee and/or penalty-related issues. At designated times during the year, the system administrator runs the appropriate batch job and exports the results in both a text file and a Microsoft Excel file formats. He provides the Excel files to the PDATA reviewer who examines the list and makes any necessary corrections. The Batch Annual Fee and Penalty Assessment files are run through a Microsoft Word mail merge to print letters, which are then delivered to the mail room. A copy of these letters is saved to the PRD shared drive. The Referral to FPPC Excel file is sent directly to the FPPC (a correspondence record is created in AMS; however, no letters are physically generated for this report).



Process Flow Diagram

The following diagram represents actions taken by PRD produce the PDATA Batch Transaction Reports.

Figure 19: Process 11 PDATA Batch Transactions





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • PDATA business processes leading to report generation have been completed in a timely manner • The PDATA Reviewer has the knowledge, skills and tools to perform a successful mail merge 	
Step 1: PRD – System Administrator	Identify Report to be run <ul style="list-style-type: none"> • If Batch Annual Fee report (run in mid-November), go to Step 4 • If Penalty Assessment Fee report (run quarterly), go to Step 2 • If FPPC Referral (run once per year, around August), go to Step 3
Step 2: PRD – System Administrator	Create/update AF_PENALTY Correspondence template in AMS NOTE: <i>This template must be created or updated prior to running the Penalty Assessment Fee report in order for the correct records to be listed on the report. A correspondence record will be created in AMS; however, a physical letter will be generated via external mail merge.</i> <ul style="list-style-type: none"> • In AMS, navigate to the Correspondence -> Edit Template page and locate the PDATA folder • Select the 001 – AF PENALTY template and make any necessary edits in the right panel on the page • Save the changes and click the Done button to close the page • Go to Step 4
Step 3: PRD – System Administrator	Create/update FPPC_REFERRAL Correspondence template in AMS NOTE: <i>This template must be created or updated prior to running the FPPC Referral report in order for the correct records to be listed on the report. A correspondence record will be created in AMS; however, a physical letter will not be generated.</i> <ul style="list-style-type: none"> • In AMS, navigate to the Correspondence -> Edit Template page and locate the PDATA folder • Select the 007 – FPPC REFERRAL template and make any necessary edits in the right panel on the page • Save the changes and click the Done button to close the page • Go to Step 4
Step 4: PRD – System Administrator	Run the report in AMS NOTE: These reports may take 2+ hours to run, depending upon the number of records inserted into the report. <ul style="list-style-type: none"> • In AMS, navigate to the Batch Annual Fee and Penalty Assessment page • Select the year from the dropdown list (this represents the upcoming year) • For the Annual Fee report: <ul style="list-style-type: none"> ○ Click the Annual Fee Assessment button • For the Penalty Assessment report: <ul style="list-style-type: none"> ○ Enter the Grace Period as number of days (this is typically 15 days) ○ Click the Batch Penalty Assessment button • For the FPPC Referral report: <ul style="list-style-type: none"> ○ Enter the Referral Date of one (1) week in the future from the date the report is run ○ Enter the Grace Period as number of days (this is typically 1



STEPS/ACTORS	DIRECTION
	day) <ul style="list-style-type: none"> ○ Click the FPPC Referral button
Step 5: PRD – System Administrator	Export the report results NOTE: <i>Do not close the report results page until the results have been exported. Once closed, these reports cannot be reproduced with results identical to any previously run report. The report can be run again; however, the results will always be different.</i> <ul style="list-style-type: none"> • With the report results displayed, click the Export button • When the Save As sub-window opens, select the appropriate directory/folder where the report should be saved <ul style="list-style-type: none"> ○ Enter the appropriate file name ○ Select the file type <ul style="list-style-type: none"> ▪ PRD saves two (2) files for each report: one is a Text file and the other an Excel file ○ Click Save
Step 6: PRD – System Administrator	Perform data manipulation and cleanup of report results spreadsheet <ul style="list-style-type: none"> • Review the data on the spreadsheet and make any corrections or data manipulations to ensure the mail merge works correctly • If this is an FPPC Referral, go to Step 7 • If this is a Batch Annual Report and the Penalty Assessment Report, go to Step 8
Step 7: PRD – System Administrator	Forward spreadsheet to PDATA Reviewer Email the Excel file (spreadsheet) to the PDATA Reviewer
Step 8: PRD – PDATA Reviewer	Receive spreadsheet from System Admin Receive the Excel file (spreadsheet) from the System Administrator
Step 9: PRD – PDATA Reviewer	Send spreadsheet to FPPC <ul style="list-style-type: none"> • Email the FPPC Referral Excel spreadsheet to FPPC
Step 10: PRD – PDATA Reviewer	Perform mail merge <ul style="list-style-type: none"> • Locate the Batch Annual Fee correspondence template on the shared drive • Using the Excel spreadsheet and template, complete a mail merge • Save the resulting letters in a file on the shared drive
Step 11: PRD – PDATA Reviewer	Print letters <ul style="list-style-type: none"> • Print the letters from the mail merged file
Step 12: PRD – PDATA Reviewer	Deliver letters to Mail Room <ul style="list-style-type: none"> • Deliver the printed letters to the mail room

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Trigger Events are: <ul style="list-style-type: none"> • Batch Annual Fee Report – Mid-November for the ensuing



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> year's Fee Penalty Assessment Report – March 31 is the goal date, but the report should be run quarterly FPPC Referral Report – Run once per year, around August
Frequency/Volume	For 2016: <ul style="list-style-type: none"> Approximately 8,000 Batch Annual Fee letters were mailed Approximately 2,000 Penalty Assessment letters were mailed Approximately 1,000 filers were referred to FPPC <ul style="list-style-type: none"> If a filer's record remains active after referral to FPPC without resolution of payments due, additional annual fees and penalties are assessed The filer will continue to receive these notices until 1) fees and penalties are resolved, or 2) filer is terminated
Actors	PRD Staff: <ul style="list-style-type: none"> System Administrator PDATA Reviewer
Inputs	AMS – Correspondence templates AF_PENALTY and FPPC_REFERRAL.
Outputs	<ul style="list-style-type: none"> Exported report files from AMS (text and excel formats) for all three reports Batch Annual Fee letters Penalty Assessment letters FPPC Referral List
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Section 84101.5 – Annual Fees).
Constraints	<ul style="list-style-type: none"> Batch Annual Fee Report: AMS does not provide the functionality to re-generate a previously run report (meaning – same parameters used to recreate the same result), after the original results page is closed <ul style="list-style-type: none"> The dynamics of this report include the insertion of records into the report which is presented on the results page. Once a record has been inserted into a report, it cannot be re-inserted, and therefore, will NOT appear on a subsequently-run report
Issues	<ul style="list-style-type: none"> In AMS, the Batch Annual Fee and Penalty Assessment page contains a button named “Clean up Records.” This was used one time only and is no longer in use AMS does not have the functionality to mass produce correspondence The template naming convention for the Penalty Assessment and FPPC Referral files is restricted because these names are embedded in the AMS code
Current Technology	<ul style="list-style-type: none"> AMS for report generation and correspondence templates Microsoft Word – mail merge Microsoft Excel for the mail merge source file and FPPC list PRD shared drive – correspondence template
Sub-Processes	<ul style="list-style-type: none"> Returned Mail Mail Merge



PROCESS NARRATIVE	
Workarounds	<ul style="list-style-type: none">• As part of the PDATA batch transaction process, AMS code requires a correspondence record to be created when a record is inserted into the report. This correspondence record becomes part of the correspondence history<ul style="list-style-type: none">○ This is not an issue for the Batch Annual Fee report, but is for the other two reports○ WORKAROUND: The system administrator must create or amend a correspondence template in AMS. This will trigger a correspondence record for the batch transaction, but the letter produced will not contain name, address and account information normally associated with client correspondence. The Penalty Assessment report letters are printed via mail merge; the FPPC Referrals do not have a letter printed as the Excel file is sent directly to FPPC • When viewing or re-printing a letter from the Correspondence history in AMS, only the generic template is displayed and does not contain any filer identifying information (e.g. name, address, filer ID#, etc.)<ul style="list-style-type: none">○ WORKAROUND: While the letter cannot be re-created in AMS, it can be reprinted from the file of externally-merged letters saved to the shared drive
Exceptions	No exceptions identified.



III.12 Process 12: Records Transfer

Purpose

This process describes the activities and actions that occur when PRD coordinates and executes records transfer of document filings received from lobbying firms, lobbyist employers, candidates (office holders and committees), slate mailer organizations, major donors and miscellaneous committees.

Process Description

PRD retains four (4) years of all records in the PRD office, unless otherwise specified. A complete set of documents is placed in archive which is managed and stored by SOS – Records and Information Management. Documents not retained onsite or placed in archive are recycled. All check photocopies, as well as documents containing Personal Identifying Information (PII) that is not made available for public viewing must be removed from the files and confidentially destroyed.

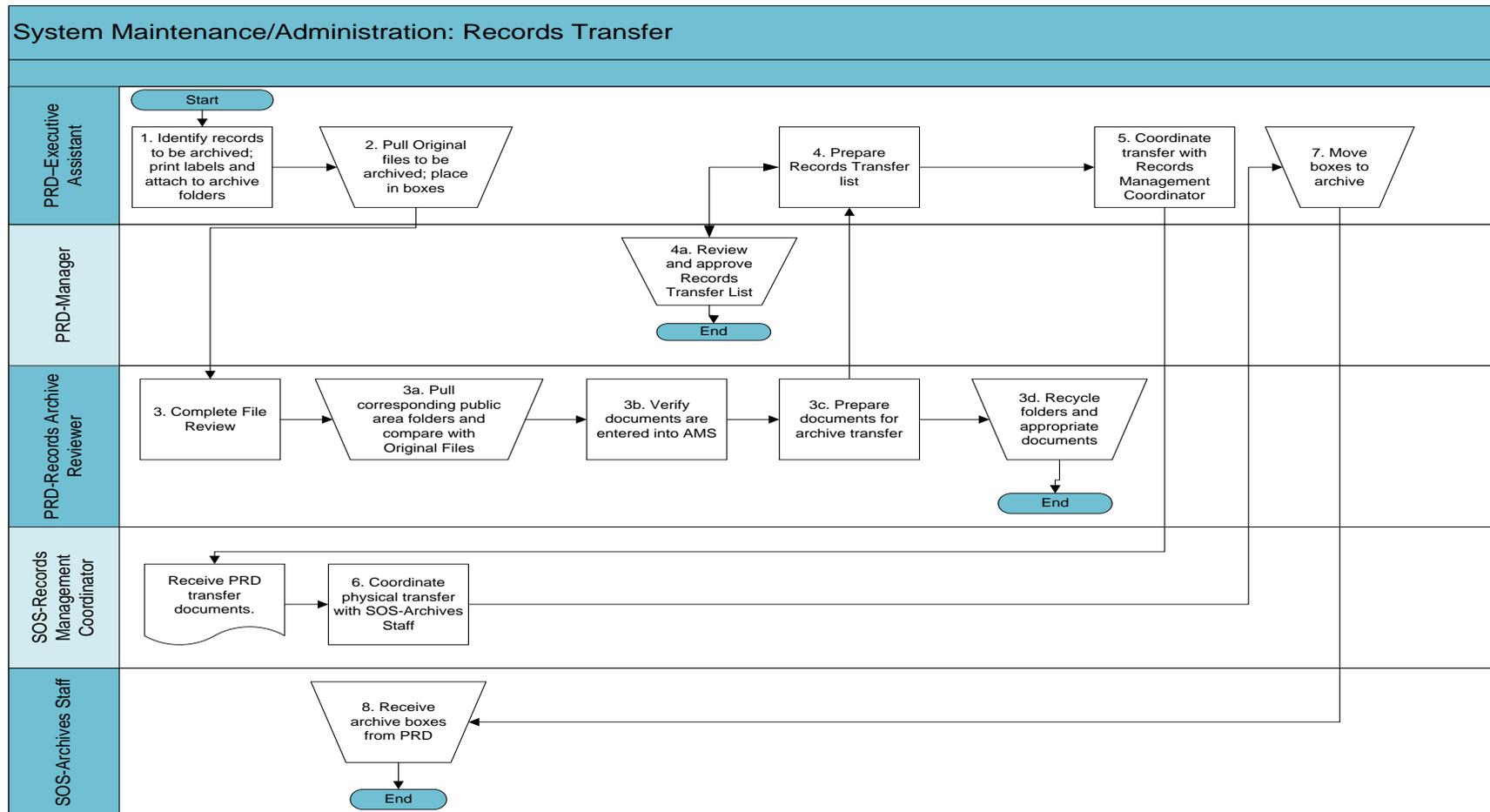
The PRD Executive Assistant (EA) initiates the process by identifying records to be archived and creating file labels in AMS. The EA pulls and places the original document folders for the identified records into labeled boxes. Various PRD staff members participate in the archive records review, which includes pulling corresponding Public Area folders to compare contents, creating a full set of documents and verifying all data been entered into AMS. Any misfiled documents or other issues are resolved with the Executive Assistant. The reviewers assemble and organize document files for archive storage; duplicate documents not be retained in the PRD office are recycled. The EA coordinates the records transfer with the SOS Records Management Coordinator, and supervises the physical transfer of records.



Process Flow Diagram

The following diagram represents actions taken by various individuals/entities to review and prepare files for transfer to archive storage.

Figure 20: Process 12 Records Transfer





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
<p>Assumptions:</p> <ul style="list-style-type: none"> The schedule for review and records transfer has been prepared and approved by PRD management Archive folders and other supplies are available The folders to be archived are correctly filed in the appropriate place, as this drives generation of labels 	
<p>Step 1: PRD–Executive Assistant</p>	<p>Identify records to be archived; print labels and attach to archive folders</p> <ul style="list-style-type: none"> In AMS, navigate to Audit Tools -> Audit/Reports/Batch Notices and select “Mailing Labels” from the Report Types dropdown list Create labels for various entities (e.g. Candidates, Employer/Client, Slate Mailer, etc.) <ul style="list-style-type: none"> Some filers will require more than one folder; therefore, multiple labels may need to be created The folder size (standard, 3 ½” or 5 ¼”) needs to be specified Print labels, affix them to a new, empty file folder and place these folders in an Archive box Note: Labels must reflect the name of the entity as of the end of the legislative session being archived <ul style="list-style-type: none"> Example: for the legislative session 2013-2014, the label must show the entity name as of the end of the 2014 session
<p>Step 2: PRD–Executive Assistant</p>	<p>Pull Original files to be archived; place in boxes</p> <ul style="list-style-type: none"> Pull the original document file folders for the archive period (e.g. 2013-2014) corresponding with the empty, labeled folders, and place them in the same Archive box, standing upright so the ID# is easily seen Create a work log to be used to identify the first and last folders in each Archive box by: Box Number, Initials (of Records Archive Reviewer), Committee (or other Entity) Name and ID#
<p>Step 3: PRD-Records Archive Reviewer</p>	<p>Complete File Review</p> <ul style="list-style-type: none"> From the Archive box, pull up to 5 original files and their corresponding, labeled empty folders Initial the work log entries corresponding to these files to track which reviewer has pulled the file
<p>Step 3a: PRD-Records Archive Reviewer</p>	<p>Pull corresponding public area files and compare with Original Files</p> <ul style="list-style-type: none"> Pull the public area files that correspond with the files being reviewed Arrange the documents in each file in reverse chronological order with the most recent on top Compare all original documents with the public area to be sure the original file is complete. If an original is missing, replace it with the public area copy and write “Original Missing” in red ink across the replaced document If the file contains documents from a session prior to the session documents being archived: <ul style="list-style-type: none"> Place original documents in the bin designated as “ARCHIVE” Recycle public area copies



STEPS/ACTORS	DIRECTION
Step 3b: PRD-Records Archive Reviewer	Verify documents are entered into AMS <ul style="list-style-type: none"> • In AMS, view the appropriate committees and lobbying entities screens to make sure information from the filings documents is correctly entered <ul style="list-style-type: none"> ○ This review applies only to paper documents in the file. Electronic filings are not reviewed in the archive process • Any necessary corrections to the AMS file are made by designated PRD staff
Step 3c: PRD-Records Archive Reviewer	Prepare documents for archive transfer <ul style="list-style-type: none"> • Remove all binder clips, paper clips and rubber bands from documents being transferred (staples may remain) <ul style="list-style-type: none"> ○ Documents may be separated with a sheet of colored paper • Put the originals to be archived in the archive folders and place them alphabetically in the Archive box, which is numbered • When all folders in an Archive box have been completed, update the work log with the beginning and ending identifiers that describe the contents of the box
Step 3d: PRD-Records Archive Reviewer	Recycle/Re-file folders and appropriate documents <ul style="list-style-type: none"> • Recycle public area documents for the archive period (or prior to the archive period) that are not needed in the archived folder • Re-file public area folders with documents for the current or future legislative session in the public area • Original (empty) folders expected to have further activity, are rubber-banded together and filed on the Active shelf for use in the upcoming legislative session • Rubber-band together original (empty) folders expected to have no further activity. File these on the Inactive shelf for re-use
Step 4: PRD–Executive Assistant	Prepare Records Transfer list <ul style="list-style-type: none"> • After a section (i.e. Lobbying Firms, Major Donors, Miscellaneous Committees, etc.) is completed, go to the shared drive and navigate to: Documents -> Record Center Transfer Lists and create a new Transfer List (STD 71) <ul style="list-style-type: none"> ○ This list contains the box numbers of the records to be transferred. The corresponding work logs are attached to the Records Transfer List ○ Each section will have its own Records Transfer List; however, a list may have multiple pages • Reconcile the Records Transfer List with the work log and the reviewed Archive boxes • Obtain Manager’s written approval on Records Transfer List
Step 4a: PRD-Manager	Review and approve Records Transfer List <ul style="list-style-type: none"> • Receive and review the Records Transfer List • Provide signed approval on the Records Transfer List <ul style="list-style-type: none"> ○ Any issues potentially resulting in non-approval should be resolved with the Executive Assistant
Step 5: PRD–Executive Assistant	Coordinate transfer with Records Management Coordinator <ul style="list-style-type: none"> • Email the Transfer list to the Records Management Coordinator
Step 6: SOS-Records Management Coordinator	Coordinate physical transfer with SOS-Archives Staff <ul style="list-style-type: none"> • Contact the SOS-Archive and coordinate logistics for physically moving the boxes from PRD to the Archive dock



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> Communicate the move logistics to PRD
Step 7: PRD–Executive Assistant	Move boxes to archive <ul style="list-style-type: none"> Supervise the physical move of Archive boxes to the basement for transfer to SOS-Archives
Step 8: SOS-Archives Staff	Receive archive boxes from PRD <ul style="list-style-type: none"> Receive Archive boxes and any relevant paperwork from PRD

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<p>The Records Transfer reconciliation period is the legislative session immediately prior to the currently ending legislative session.</p> <ul style="list-style-type: none"> Example <ul style="list-style-type: none"> Current year = 2016 Currently ending legislative session = 2015/2016 Legislative session immediately prior = 2013/2014 (This is the Records Transfer reconciliation period)
Frequency	This process typically occurs once every two years.
Actors	<p>PRD</p> <ul style="list-style-type: none"> Manager Executive Assistant Records Archive Reviewer <p>SOS</p> <ul style="list-style-type: none"> Records Management Coordinator SOS Archives Staff
Inputs	<ul style="list-style-type: none"> Original and public area files Retention Schedule
Outputs	<ul style="list-style-type: none"> Labels for folders to be archived Work Log Records Transfer List Boxes of Archived folders
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Section 84104 - Recordkeeping).
Constraints	No constraints identified.
Issues	<ul style="list-style-type: none"> Although labels can be created in AMS, it is not a fully automated process <ul style="list-style-type: none"> Labels for Firms, Slate Mailer Organizations and Miscellaneous Committees can be printed based off of a report However, labels for other entities are printed after the folders have been put into boxes prior to being reviewed. This way, the printed labels directly correspond to the folders in a given box <ul style="list-style-type: none"> As an example, after folders for a number of Candidates have been placed in a box, the user will search for the corresponding file



PROCESS NARRATIVE

	<p>name in AMS by ID#, and click the name on the results list to select and add it to a label list. Once the labels representing the folders in a box have been selected, the user clicks the “Run Report” button to generate the labels for printing</p> <ul style="list-style-type: none">• The work log must be completed manually (in handwriting). It would be helpful if it could be completed electronically• AMS does not provide the functionality to reconcile the actual files archived with the records in AMS• AMS does not provide the functionality to indicate that records have been archived
Current Technology	<ul style="list-style-type: none">• AMS for generating labels and updating records during the archive folder review• Shared drive, where the Work Log and Records Transfer List templates are stored
Sub-Processes	Local Committee Form 410 Termination Records Management.
Workarounds	No workarounds identified.
Exceptions	No exceptions identified.



III.13 Process 13: Lobbying Directory

Purpose

This process administers the Lobbying Directory published by PRD via pdf. The initial Lobbying Directory is published by April during the first year of the 2-year legislative session. The Directory is maintained (updated as needed) on a quarterly basis through the end of the legislative session.

Process Description

Every two years in the odd numbered year, pursuant to the PRA, the PRD is required to publish a Lobbying Directory (hereafter referred to as "directory") of all registered state Lobbyists, Lobbying firms, and Lobbying employers. The PRA states that the directory must be published within 140 days after the commencement of each regular session of the Legislature. In order to meet this requirement, the PRD begins processing the high volume of form filings through the Lobbying Registration process in November of the even year with the intention of completing the project by mid-spring of the odd year.

Also, regular Lobbying registration filings are received throughout the legislative session and are processed in the same way as the high volume filings. The Lobbying Directory is updated throughout the legislative session, the ITD developed Lobbying Directory generation process is run to create the new Lobbying Directory pdf and the new pdf is published on the SOS web site. A hardcopy Lobbying Directory is printed for the initial version in each legislative session.

Photographs of the Lobbyists are submitted with the forms. The Lobbying Directory Analyst examines the photographs for compliance and acceptability, and scans and prepares them for upload to the AMS database, linked by the Filer ID assigned by Lobbying Registration. When all the photographs have been uploaded the Lobbying Directory Analyst executes the ITD developed process to generate a PDF based Lobbying Directory for printing and publishing to the SOS web site.

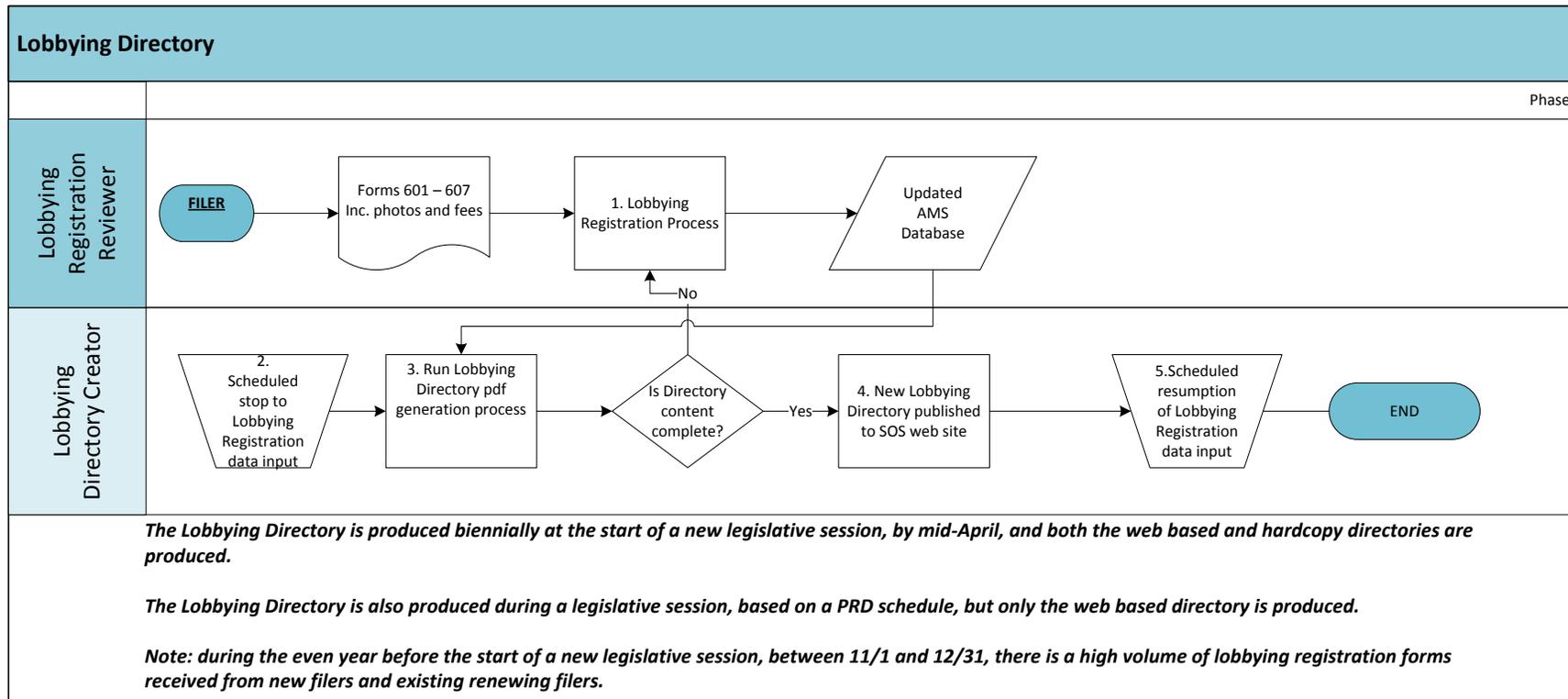
The hardcopy Lobbying Directory is printed from the initial legislative session version only. Cal Online is widely used to inquire on current Lobbying information.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to generate the Lobbying Directory.

Figure 21: Process 13 Lobbying Directory





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumption:	
<ul style="list-style-type: none"> The Lobbying Registration Forms for the new legislative session have been entered into AMS 	
Step 1: Lobbying Registration Reviewer	Lobbying Registration Process 2 <ul style="list-style-type: none"> Processes the registration forms and photos into the AMS application and the AMS database is updated
Step 2: Lobbying Directory Creator	Scheduled stop to Lobbying Registration data input <ul style="list-style-type: none"> Requests a halt, based on the PRD schedule to Lobbying Registration input until the Lobbying Directory file has been generated
Step 3: Lobbying Directory Creator	Run Lobbying Directory pdf generation process <ul style="list-style-type: none"> Runs the ITD developed Lobbying Directory generation process to create pdf file accessible through the SOS website Checks that the Lobbying Directory content is complete; if not goes back to Step 1 to complete the information
Step 4: Lobbying Directory Creator	New Lobbying Directory published to SOS website <ul style="list-style-type: none"> Publishes the pdf file to the SOS website when the Lobbying Directory is complete, and the hardcopy document is printed if it is the start of a legislative session
Step 5: Lobbying Directory Creator	Scheduled resumption of Lobbying Registration data input <ul style="list-style-type: none"> Announces resumption of Lobbying Registration input

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> The Lobbying Registration Forms for the new legislative session have been entered into AMS The Lobbying Directory generation schedule indicates that the process be run
Frequency	<ul style="list-style-type: none"> PRD staff creates a new biennial legislative session Lobbying Directory at the beginning of odd numbered years, in both hardcopy and electronic form Throughout the two-year legislative session, subsequent filings are processed through Lobby Registration and the changes are made to the AMS database. Every quarter PRD staff creates a new electronic version of the web based Lobbying Directory which replaces the prior version
Actors	<ul style="list-style-type: none"> Lobbying Registration Reviewer Lobbying Directory Creator
Inputs	AMS database including Lobbyist photos.
Outputs	<ul style="list-style-type: none"> Bi-yearly Lobbying Directory in hardcopy and electronic forms Replacement quarterly electronic Lobbying Directory versions throughout the legislative session



PROCESS NARRATIVE	
Regulations/Policies	Political Reform Act.
Constraints	Government Code Section 85200, including regulations AB 1743.
Issues	<ul style="list-style-type: none"> • Workload on this task has increased by 50% and become increasingly complex with the addition of “placement agents” (investors seeking partnerships with state retirement fund systems) designated as “lobbyists” by 2010 legislation (AB 1743). These 900 placement agents (2013-14) are not typical “lobbyists”: They do not operate within the typical two-year legislative session that applies to traditional lobbyists, firms and employers. They “lobby” the California Public Employees Retirement System (CalPERS) and the California State Teachers Retirement System (CalSTRS) • The current ITD developed Lobbying Directory generation process does not work because it does not complete the entire directory, it freezes and stops running. ITD is currently developing a new process
Current Technology	<ul style="list-style-type: none"> • ITD created Lobbying Directory generation process • pdf files
Sub-Processes	Lobbying Directory generation process.
Workarounds	<ul style="list-style-type: none"> • During the even year before the start of a new legislative session, between 11/1 and 12/31, there are a high volume of Lobbying registration forms received from new filers and existing renewing filers. This requires PRD staff reassignments to help with the increase in data input volume • In order to create a complete directory, the PRD staff generate it by sections and manually piece it together
Exceptions	If a Lobbying filing is not received in the bi-yearly Lobbying registration period it will not be available in the initial legislative session Lobbying Directory. It will be entered into AMS and will be available in the next quarterly version of the Lobbying Directory.



III.14 Process 14: Change Log

Purpose

This process manages the information that tracks the weekly changes made to the Lobbying Directory. This is a manual process and the data in the Change Log is published on the PRD website.

Process Description

The Lobbying Change Log is a process that fulfills the PRA requirement stated in Section 86109.5 mandating:

“(b) The Secretary of State shall also display on the Internet a list of the specific changes made to the Directory of Lobbying, Lobbying Firms, and Lobbying Employers, including new registrations and listings, additions, deletions, and other revisions, during the seven days preceding the update required by subdivision (a)”.

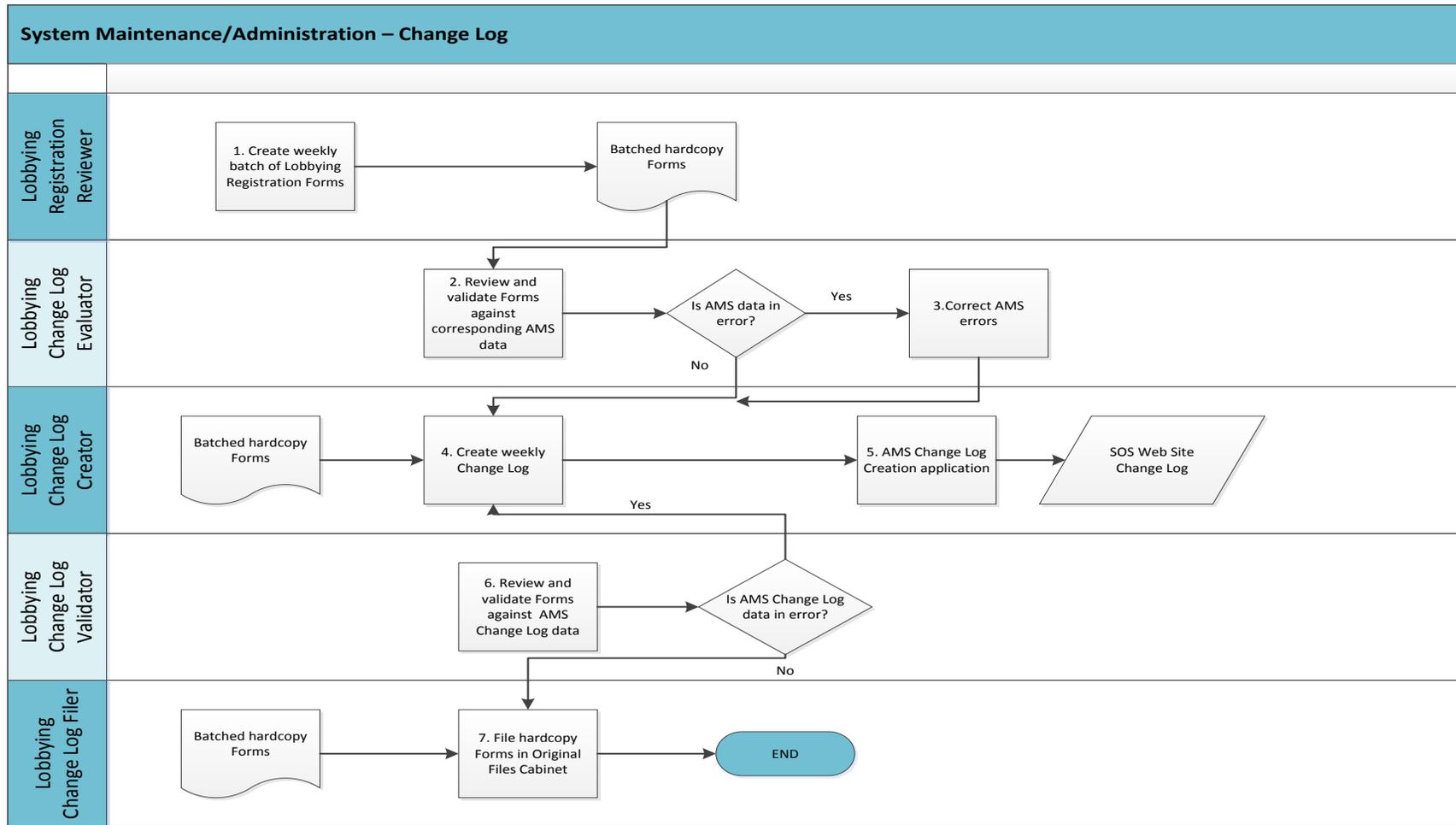
The Change log captures and publishes weekly changes to the online Lobbying Directory. Changes include: adding a Lobbying Entity; changing a Lobbying Entity; deleting a Lobbying Entity; withdrawing a Lobbying Entity; terminating a Lobbying Entity; revoking a Lobbying Entity; and, reinstating a Lobbying Entity (revocation cancelled).



Process Flow Diagram

This figure represents the actions taken by various individuals/entities manage the Change Log.

Figure 22: Process 14 Change Log





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions <ul style="list-style-type: none"> The batched Forms from Lobbying Registration have been input to the AMS application. 	
Step 1: Lobbying Registration Reviewer	Create weekly batch of lobbying registration forms <ul style="list-style-type: none"> Creates the weekly hardcopy registration forms batch, after input to AMS, and forwards it to the Lobbying Change Log Evaluator
Step 2: Lobbying Change Log Evaluator	Review and validate forms against AMS data <ul style="list-style-type: none"> Reviews and validates the hardcopy Forms received from the Lobbying Registration Reviewer in weekly batches against the corresponding online AMS data that has been entered If there no data errors go to Step 4
Step 3: Lobbying Change Log Evaluator	Correct AMS errors <ul style="list-style-type: none"> Corrects any errors in AMS
Step 4: Lobbying Change Log Creator	Create weekly Change Log <ul style="list-style-type: none"> Inputs Change Log data from the hardcopy Forms into the AMS application Change Log process
Step 5: Lobbying Change Log Creator	AMS Change Log creation <ul style="list-style-type: none"> Runs the AMS process to publish the Change Log data to the SOS web site
Step 6: Lobbying Change Log Validator	Review and validate forms against Change Log data <ul style="list-style-type: none"> Verifies the published AMS Change Log data manually with the hardcopy Forms If any errors are encountered they are corrected via Step 4
Step 7: Lobbying Change Log Filer	File hardcopy forms <ul style="list-style-type: none"> Files the hardcopy Forms, when the weekly batch is successfully completed, in the Original Files cabinet

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> Lobbying Registration team creates a weekly batch of hardcopy forms The Lobbying Change Log team receives the weekly forms batch from Lobbying Registration
Frequency	<ul style="list-style-type: none"> PRD staff publishes the Change Log weekly on the SOS web site PRD staff estimates there are: 6,500 registration and disclosure forms annually; 13,000 Amendments; 800 Withdrawals and Terminations
Actors	<ul style="list-style-type: none"> Lobbying Registration Reviewer Lobbying Change Log Evaluator Lobbying Change Log Creator



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> • Lobbying Change Log Validator • Lobbying Change Log Filer
Inputs	Hardcopy Forms 601 through 607 excluding photos.
Outputs	<ul style="list-style-type: none"> • The current weekly Change Log on the SOS web site • Updated AMS Change Log database
Regulations/Policies	PRA requirement stated in Section 86109.5 (b).
Constraints	PRA requirement stated in Section 86109.5 (b).
Issues	<ul style="list-style-type: none"> • Limitations in the functionality of the existing automated applications require staff to separately and manually maintain a 'change log' for Lobbying registration amendments. This limitation results in manual and redundant processes contributing to a backlog of work • Although the public is provided a current, accurate record of Lobbying registration status, the need to separately key this data into a change log to track changes in Lobbying registration status creates a 'perpetual delay' in the ability to clearly monitor changes to Lobbying registration status • Due to lack of staff resources there is a significant backlog of changes to be processed
Current Technology	AMS application including updates to the Change Log database and automated publishing of Change Log information to the web site.
Sub-Processes	<ul style="list-style-type: none"> • The Lobbying Registration team submits weekly batches of hardcopy forms to the Lobbying Change Log team • The Lobbying Change Log team validates the forms against the corresponding AMS entries, and corrects any differences using the form content as baseline • The Lobbying Change Log team enters the weekly batch of forms data into the AMS Change Log process • AMS automatically creates the weekly Change Log file on the SOS web site • The Lobbying Change Log team validates the AMS Change Log data against the hardcopy forms and any errors are corrected via the AMS Change Log process • The hardcopy forms are filed in the Original Files cabinet
Workarounds	<ul style="list-style-type: none"> • The AMS application does not automatically the forms information entered by Lobbying Registration to create the new Change Log for the SOS web site. The Change Log must be built manually using selected information from the hardcopy Lobbying Registration forms. When the AMS Change Log has been updated, the new weekly version is published on the SOS web site • Lobbying Registration data entered by the Lobbying Registration team is not available to the Change Log process within the AMS



PROCESS NARRATIVE	
	application, resulting in the need for duplicate data entry
Exceptions	The Change Log update process does not include changes of address, responsible officer name, Filer type and interest.



III.15 Process 15: AMS Election Table

Purpose

This process describes the activities and actions that occur in order to update Election information in AMS.

Process Description

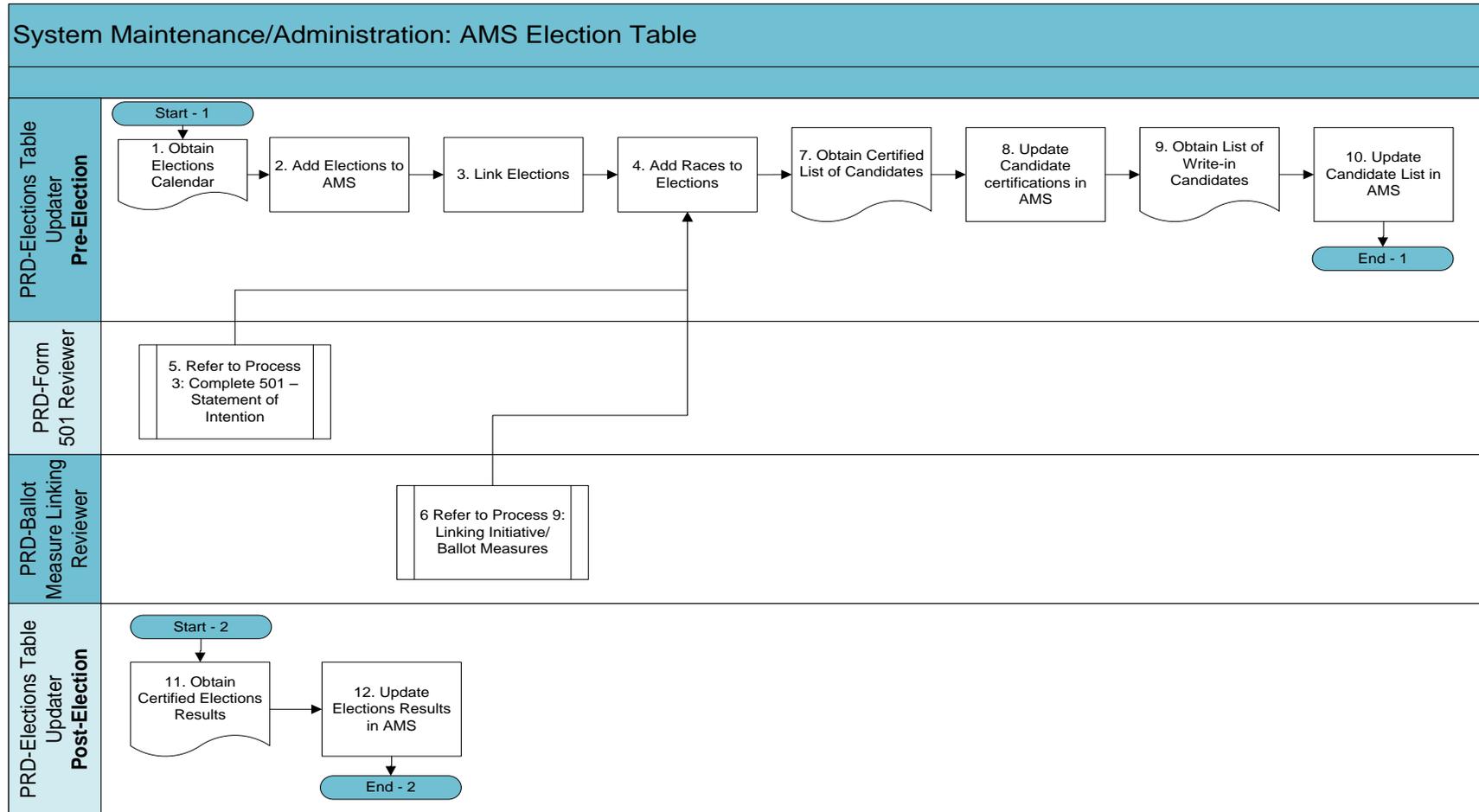
The Secretary of State Elections Division publishes a calendar of election dates. PRD updates the AMS election table with the election(s) and respective date(s), linking the appropriate primary elections to general elections, and special elections to special runoff elections. PRD obtains a certified list of candidates from Elections and enters these into AMS as per Process #3 – Form 501 Statement of Intention. Initiatives/referendums that have qualified and become propositions are entered into AMS as per Process #9 – Linking Initiatives/Ballot Measures. The Elections Division also publishes a list of write-in candidates which is also entered into AMS. After the election, PRD updates the candidate/proposition records with the certified election results.



Process Flow Diagram

The following diagram represents actions taken by various individuals/entities to update AMS with election dates, candidates and initiatives, and post-election results.

Figure 23: Process 15 AMS Election Table





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> SOS Elections Division has published the Elections Calendar 	
Step 1: PRD-Elections Table Updater:	START 1: BEGIN PRE-ELECTION PROCESS Obtain Elections Calendar <ul style="list-style-type: none"> Navigate to the SOS-Elections website and obtain the Elections Calendar
Step 2: PRD-Elections Table Updater:	Add Elections to AMS <ul style="list-style-type: none"> In AMS, navigate to Tools -> Elections which opens the Elections & Races screen Enter the election type, session and date in the elections table
Step 3: PRD-Elections Table Updater:	Link Elections <ul style="list-style-type: none"> Link primary elections to the corresponding general election Link special elections to the corresponding special runoff election
Step 4: PRD-Elections Table Updater:	Add Races to Elections <ul style="list-style-type: none"> For a special election, click the “New Race Button” <ul style="list-style-type: none"> Select the Race from the dropdown list (e.g. Assembly, Senate, etc.) Select the District from the dropdown list (when applicable) For a general or primary election, check the appropriate boxes/buttons as needed (Statewide Offices, Board of Equalization, Senate even or odd and Assembly), then select the races from the displayed list
Step 5: PRD-Form 501 Reviewer	<ul style="list-style-type: none"> Refer to Process 3: Complete 501 – Statement of Intention Refer to Process3: 501 – Statement of Intention
Step 6: PRD-Ballot Measure Linking Reviewer	<ul style="list-style-type: none"> Refer to Process 9: Linking Initiatives/Ballot Measures Refer to Process 9: System Maint/Admin – Linking Initiatives/Ballot Measures. As part of this process, inform the PRD-Elections Table Updater when a measure has qualified so that it can be entered in the election table and marked as “certified”
Step 7: PRD-Elections Table Updater:	Obtain Certified List of Candidates <ul style="list-style-type: none"> Navigate to the SOS-Elections website and obtain the Certified List of Candidates
Step 8: PRD-Elections Table Updater:	Update Candidate certification in AMS <ul style="list-style-type: none"> In the AMS elections table, verify candidate certification against the certified list, updating as needed <ul style="list-style-type: none"> Check the “certified” box to indicate which candidates are certified for the ballot Ballot measures are added as they qualify for the ballot Verify the certified candidates and measures are displayed correctly on the PRD website
Step 9: PRD-Elections Table Updater:	Obtain List of Write-in Candidates <ul style="list-style-type: none"> This list is produced by the SOS – Elections Division
Step 10: PRD-Elections Table Updater:	Update Candidate List in AMS <ul style="list-style-type: none"> In AMS, link write-in candidates to the election race, adding new candidate records as needed



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> Verify the write-in candidate is displayed correctly on the PRD website <p>END PRE-ELECTION PROCESS</p>
<p>Step 11: PRD-Elections Table Updater:</p>	<p>START 2: BEGIN POST-ELECTION PROCESS</p> <p>Obtain Certified Elections Results</p> <ul style="list-style-type: none"> This list is produced by the SOS – Elections Division
<p>Step 12: PRD-Elections Table Updater:</p>	<p>Update Elections Results in AMS</p> <ul style="list-style-type: none"> In AMS, update the candidate/measure race results on the Elections Detail tab <ul style="list-style-type: none"> Double click the race to be updated to display the list Select the Results from the dropdown list (e.g. Won, Pass, Not Certified, etc.) <ul style="list-style-type: none"> Candidate designations are: “won”, “lost” and “not certified” (candidates who failed to make the ballot) Measure designations are: “Pass” and “Fail” The designation “Undecided” is not used <p>END POST-ELECTION PROCESS</p>

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> SOS-Elections publishes the Elections Calendar SOS-Elections adds elections, races, certifies candidates, qualifies measures, certifies write-in candidates and/or certifies election results A Form 501 – Candidate Statement of Intent is received for processing <ul style="list-style-type: none"> Note – this form cannot be processed until the necessary race information is entered into AMS
Frequency	The frequency of this action depends upon the Elections Calendar, the number of races, and the number of candidates and measures per race.
Actors	<ul style="list-style-type: none"> SOS-Elections PRD: <ul style="list-style-type: none"> AMS Elections Table Updater Form 501 Reviewer Ballot Measure Linking Reviewer
Inputs	<ul style="list-style-type: none"> Form 501 Statement of Intention Election calendar Certified list of candidates List of write-in candidates Certified election results
Outputs	Resulting data is displayed on the SOS website.
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints identified.



PROCESS NARRATIVE	
Issues	<ul style="list-style-type: none">AMS does not have functionality to present an historical log of transactions per record. Recommend the new system provide a transaction audit logDeletion of a record does not allow the user to indicate the reason for deletion or add comments explaining the purpose of the deletionChanges made to the elections table can alter the website display of certified candidates and measures. There is no way to notify staff that changes have been made. Often, the public will call to ask why a candidate or measure does not appear as being certified and staff will have to make the correctionAMS: In certain situations (changing the status of expenditure limits - rejection or acceptance), system does not correctly process amendments to 501; analyst must delete existing 501 record from database and re-enter; creates vulnerability for lost 501 data
Current Technology	<ul style="list-style-type: none">AMS for PRD data entrySOS-Elections website for Elections Calendar and other relevant publications (see Trigger Events)
Sub-Processes	No sub-processes identified.
Workarounds	A situation occurred where AMS would not allow a Special Runoff election to be linked to a Special Election; this had to be done manually.
Exceptions	No exceptions identified.



III.16 Process 16: Application Maintenance

Purpose

This document describes the Application Maintenance task items that reside in the System Administration module of AMS.

Process Description

Many of the task items in AMS System Administration do not have a defined process, per se. This section provides a description of each task item, whether it is currently functional (several are not), and the data elements within each tab.

PRD also uses a PRD Admin tool and CARES (*CAL-ACCESS REstricted system*); however, these systems are web browser-based and maintained by ITD (*Information Technology Division*). When changes to these systems are needed, PRD submits a service request to ITD.

- **FORMS**

Task Description

The Forms tab manages form information as well as how and where the form ID's/names appear in AMS.

Campaign Committees and Lobbying Entities are required to file information with PRD using various forms developed and published by the Fair Political Practices Commission (FPPC). These forms are accessible via the PRD website, although some form links redirect the user to the FPPC website.

Current Functionality Level: Functional

This page is fully functional, allowing an authorized user to Insert (including Modify), Delete, Save, Export, Print and Refresh data using a menu that appears when right-clicking the mouse while the cursor is in one of the data fields on the page.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Form ID	Text – alpha numeric	User-defined identifier for the form
Description	Text – alpha numeric	User-defined description of the form
Waive Fine Calculation	Dropdown list	User option to select whether the Fine Calculation can be waived
Display in Lists	Radio Button	User option to determine if the Form appears in Forms lists throughout AMS
Display in HTML Lists	Radio Button	User option to determine if the Form appears in Forms lists based on HTML
Form Applies To	Dropdown list	User option to select whether the Form applies to Campaign or Lobbying



- **STANDARD PERIODS**

Task Description

The Standard Period tab manages the filing deadlines as established per FPPC guidelines.

Current Functionality Level: Functional

This page is functional, allowing an authorized user to type data into the Comments field and select Save from a menu that appears when user right-clicks in the data display area. Other options from the right-click menu include Export, Print and Refresh. The right-click menu does not offer the options to add or delete.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Start Date	Display only	Indicates the start date of the record
End Date	Display Only	Indicates the end date of the record – all end dates are in the future. This date appears to be the same as the Deadline Date
Deadline Date	Date Field with Date Picker	Indicates the Deadline Date for this Period Type
Period Type	Dropdown list	It appears that this should be a field where the user can select from the dropdown list; however, when attempting to do so, the field is non-editable and the menu does not appear. . All current records show the same type as “Standard Period.”
Comments	Text – alpha numeric	User enters comments. Other than the dates, this field is the only information that differs on each record. It appears that this may actually be an identifier of the Period that occurs within the given Start and End Dates.

- **GENERATE LOBBYING DIRECTORY**

Task Description

This tab is used for processing the Lobbying Directory.

Current Functionality Level: Not Functional

The Generate Lobbying Directory tab is not functional. Refer to Process #13 – System Maint/Admin – Lobbying Directory for production instructions.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Session Start	Text – alpha numeric	Indicates the Start year of the Session for which the Lobbying Directory is being generated.
Select Files to Create	Checkboxes	Allows selection of any combination of the following options: Lobbyist – Employers (FMTMP.TXT) Lobbying Firms (FMFRM.TXT) Employers of Lobbyists (FMTIN.TXT)



DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
		Lobbyist (FMTLOB.TXT)
Processing Status	Display only field	Displays the status of the selected file during Lobby Directory generation
File Path	Text – alpha numeric	Displays the link path to the folder where the file is stored.
Generate Lobbyist Directory Files	Button	Creates the directory
Stop Generation	Button	Stops the directory generation
Reset Error Log	Button	Unable to determine when/how an error log is produced or the need to reset it.

- FILING OBLIGATIONS**

Task Description

This tab appears to associate Form numbers with Filing entities at a more detailed level than just distinguishing Lobbying from Campaign. This allows AMS to display the appropriate Lobbying forms for Lobbying entities and Campaign forms for Campaign entities.

Current Functionality Level: Not Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. Functionality is present, but the lack of user interface information (i.e. field names) may indicate this tab is not actually used. It is unclear where, specifically, this data is used in AMS; however, the system does appear to present the correct forms to the correct entities.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Untitled	Dropdown List	The list displays Forms in AMS.
Untitled	Dropdown List	The list displays entities in AMS (e.g. Lobbyist, Major Donor, Individual, Initiative, etc.)

- FILER TYPES**

Task Description

This tab manages the entity types; entities who file, whether they are associated with lobbying or campaigns, the number of days in the grace period, and whether fine calculations can be waived. These entries are used in the “Filer Type” dropdown list throughout AMS.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Type	Text – alpha numeric	User-defined name of a filer entity
Lobby/Campaign	Radio Buttons	User option to select whether the filer is associated



		with lobbying or campaigns
Grace Period	Text – numeric only	User-defined number of days allowed in the grace period for the selected filer type.
Waive Fine Calculations	Checkbox	User option to check box if fine calculations may be waived for the selected filer type

- **FILER LINK TYPES**

Task Description

This tab manages the filer link types, which describe the link between committee and treasurer, committee and ballot measure, etc. It displays a Description, Code Type and Code ID.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined description of the Filer Link type
Code Type	Display Only	System-assigned code (appears the same for all records)
Code ID	Display Only	System-assigned sequential number

- **IMAGE TYPES**

Task Description

This tab manages the Lobbying photo image types used for the “Type” dropdown list on the Images tab within the Lobbying entity record.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined description of the Image type
System ID	Display only	System-assigned sequential number
Type	Display only	System-assigned number (appears the same for all records)

- **ENTITY CODES**

Task Description

This tab manages the codes associated with the entity types used throughout AMS.



Current Functionality Level: Functional

The right-click menu provides the options to Delete, Export, Print and Refresh. Records cannot be added or modified/saved.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined description of Entity Code
Code Type	Display only	System-assigned code (appears the same for all records)
Code	Abbreviation of Description	User-defined three-letter identifier for the Entity Code

- **DEFINE FEES**

Task Description

This tab manages the fees, such as the Annual Fee, and various charges for miscellaneous charges such as photocopies or CDs provide upon public request.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Date	Date	User-defined date the record was created – defaults to current date, but can be changed
Amount	Dollar amount	User-defined amount of the fee
User Defined	Display only indicator	Indicates whether the fee record was user-defined
Name	Text alpha-numeric	User-defined name of the Fee
Description	Text alpha-numeric	User-defined description of the reason for the fee or any comments

- **OFFICE CODES**

Task Description

This tab manages the codes associated with Candidates or Office holders, used in the Current Office dropdown list throughout AMS.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements



DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined description of the Office code
Code Type	Display only	System-assigned code type (appears the same for all records)
Code	Abbreviation of Description	User-defined three-letter identifier for the Office Code

- **JURISDICTION CODES**

Task Description

This tab manages the codes associated with Jurisdictions, used in the Jurisdiction dropdown list throughout AMS.

Current Functionality Level: Not Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved). There are no codes listed on the System Administration – Jurisdiction Codes tab; however, the Jurisdiction dropdown list shown in AMS does show options (e.g. local, state, multi-county, etc.) that are selectable to populate the field.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined name of the Jurisdiction
Code	Abbreviation of Description	User-defined three letter code identifier of the Jurisdiction
Code Type	Display only	System-assigned code type (appears the same for all records)

- **SYSTEM PARMS/UPDATES**

Task Description

This tab manages various functions involving system parameters and updates as shown in the Data Elements table below.

Current Functionality Level: Functional

It appears that all fields on this screen are functional.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Calculation_fines_using_paper	Drop Down list	Options (Yes, No, And Electronic) to indicate whether AMS uses the paper filing received date, not the electronic date to calculate a fine.
Effective Date	Date	User-defined effective date for the above selection
Set Secretary of State	Button/Text Field alpha-numeric	User-defined name of the Secretary of State. Click the button to save.
Set PRD Chief Name	Button/Text Field alpha-numeric	User-defined name of the Secretary of State. Click the button to save.



DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
LCR/LIE Date Range: From Thru Refresh button Set button	Date/Buttons	LCR (Late Contribution Report)/LIE (Late Independent Expenditure Report) data: User-defined date fields. Click the Refresh button to enable the date fields to be edited Click the Set button to save the edited field data
Election Dates Month/Day 00/00 General Primary Refresh button Set button	Date/Buttons	User-defined fields set dates for General and Primary Election dates Click the Refresh button to enable the date fields to be edited Click the Set button to save the edited field data
Offices Up For Election Constitutional/Board of Eq Senate Offices Odd/Even Special Election Refresh button Set button	Checkboxes/ Radio Buttons/ Text alpha- numeric	User option to select Constitution or Board of Equalization User option to select Odd or Even year for Senate Offices User-defined field for Special Election Click the Refresh button to enable the date fields to be edited Click the Set button to save the edited field data
Set Lobby Date Qualified	Button	Opens a sub window titled "none" with the following info/options: Retrieving Data display field Updates display field Exit button – closes the application Run button – launches the run
Run Dynamic DB Updates	Text alpha/numeric/ buttons	Opens a sub window titled "Dynamic SQL" with the following options: Text field – enter SQL query Exit button – closes the sub window Execute button Commit Undue (<i>should this be Undo?</i>)
Print/Reset Filer Passwords	Buttons/ Dropdown lists/ Display Field	Opens a sub-window (not titled) with the following info/options: Run Report Button – produces a list of users, FPPC ID# and Password Reset Passwords Button – Prompts for confirmation that user wants to reset all passwords. Print Labels Button – Prints the list generated after report is run Import Passwords Button – opens a window to select the file from which to import passwords. Filer Type dropdown list Legislative Session dropdown list Filer ID/Full Name – display field.
Delete Filing	Button/Text field – alpha numeric	This is used to delete an electronic filing. Enter the FPPC ID# and click the Delete Filing button. A sub-window prompts to confirm the deletion.
Current Lobby Session Refresh button Set button	Button	Click this button to enable the text field.



DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Year		

- **ELECTION TYPES**

Task Description

This tab manages the various election types, such as Primary, General, Recall, Special Election, etc.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Type	User-defined Election type
Type	Display only	System-assigned number (appears the same for all records)
System ID	Display only	System-assigned sequential number

- **STATEMENT TYPES**

Task Description

This tab manages the Statement Types (e.g. Ballot Measure Qualification, Quarterly Statement, Special Odd Year Campaign, and Termination Statement).

Current Functionality Level: Not Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved). It is unclear where this information is used in AMS, so this will be noted as Not Functional.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined name of the Statement type.
Code	Text	User-defined two letter identifier for the Statement type.
Code Type	Display only	System-assigned code type (appears the same for all records)

- **PHOTO STATUS**

Task Description

This tab manages a Photo Status (e.g. No Status, Photo Received, Acceptable, Photo Scanned, etc.).

Current Functionality Level: Not Functional



The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved). It is unclear where this information is used in AMS, so this will be noted as Not Functional.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined name of the Photo Status
System ID	Display only	System-assigned sequential number
Type	Display only	System-assigned type (appears the same for all records)

- **REGISTRATION STATUS**

Task Description

This tab manages the Registration Status (e.g. No Status; In-Suspense, Missing Information; No Form 602, Received, etc.).

Current Functionality Level: Not Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved). It is unclear where this information is used in AMS, so this will be noted as Not Functional.

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined name of the Registration status
System ID	Display only	System-assigned sequential number
Type	Display only	System-assigned type (appears the same for all records)

- **DOC DESCRIPTION CODES**

Task Description

This tab manages the Document Description codes (e.g. Fine Notice, Payment Received, FPPC Referral, etc.) which are used in the “Description” dropdown list located on the Correspondence screens.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User defined name of the Document Description
System ID	Display only	System-assigned sequential number
Type	Display only	System-assigned type (appears the same for all records)



- **DOC REGARDING CODES**

Task Description

This tab manages the Document Regarding codes (e.g. Non-Filer, Non-Compliance, No Signature, etc.) which are used in the “Regarding” dropdown list located on the Correspondence screens.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined name of the Document Regarding Code
System ID	Display only	System-assigned sequential number
Type	Display only	System-assigned type (appears the same for all records)

- **DOC STATUS CODES**

Task Description

This tab manages the Document Status codes (e.g. Open, Closed, Referred, etc.) which are used in the “Status” dropdown list located on the Correspondence screens.

Current Functionality Level: Functional

The right-click menu provides the options to Save, Insert, Delete, Export, Print and Refresh. The user may add, modify and delete records (each action must be Saved).

Data Elements

DATA ELEMENT	ELEMENT TYPE	DESCRIPTION
Description	Text alpha-numeric	User-defined name of the Document Status Code
System ID	Display only	System-assigned sequential number
Type	Display only	System-assigned type (appears the same for all records)



III.17 Process 17: Management Reports – Expenditure Tracking

Purpose

This process describes the activities and actions that occur when Primarily Formed Measure Committees report expenditures supporting or opposing ballot measures.

Process Description

To achieve compliance with SB844, a process was initiated in January 2016 to capture and report contributions made by primarily formed committees in support or opposition to statewide ballot measures. This process relies on processing of Form 460: Recipient Committee Campaign Statement, and Form 497: Late Contribution Report (LCR). Currently, the AMS system lacks the functionality to support data entry and automated calculation actions needed to properly display required data on the PRD website. Thus, most of the actions within this process are done manually.

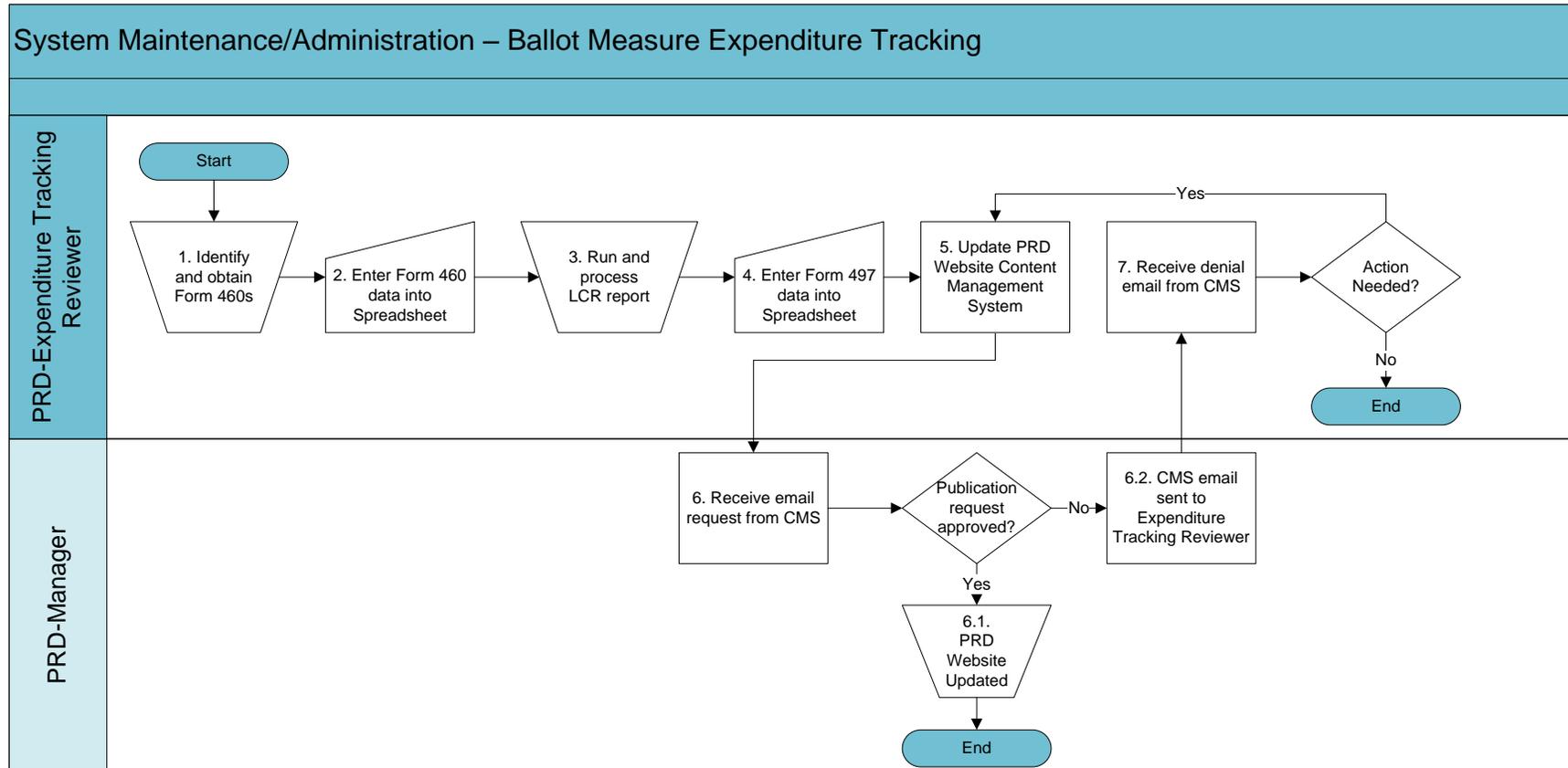
This process is dependent upon successful completion of Process #9: System Linking Initiatives/Ballot Measures. Subsequent to that process, the PRD Expenditure Tracking Reviewer obtains processed Form 460s and manually enters expenditure data onto a Microsoft Excel spreadsheet located on the shared drive. The Reviewer runs an automated LCR report in AMS, exporting the results, which are then imported into a MS Access database. From this report, processed Form 497s are identified and information viewed from the online filings in CAL-ACCESS. Expenditure data shown on the Form 497s is also added to the MS Excel spreadsheet, and totals calculated. Finally, the Reviewer manually updates the html code for the PRD website and publishes the expenditure tracking data.



Process Flow Diagram

The following diagram represents actions taken by various individuals/entities to capture expenditures reported by Primarily Formed Committees (PFCs), calculate totals by ballot measure and publish this data on the PRD website.

Figure 24: Process 17 Management Reports – Expenditure Tracking





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> PRD has completed Process #9 – Linking Initiatives/Ballot Measures 	
Step 1: PRD-Expenditure Tracking Reviewer	Identify and obtain Form 460s <ul style="list-style-type: none"> Navigate to the PRD website and identify IDs of PFCs who should have filed a Form 460 In AMS, locate the Form 460 filing for the identified PFCs <ul style="list-style-type: none"> If AMS does not contain a Form 460 filing, attempt to locate a paper Form 460 that may not yet have been entered into AMS
Step 2: PRD-Expenditure Tracking Reviewer	Enter Form 460 data into Spreadsheet <ul style="list-style-type: none"> Navigate to the shared drive and open the “sb-844-total-contributions” spreadsheet <ul style="list-style-type: none"> Each tab represents expenditure data for one initiative. It is color-coded based on its current step in the process Enter the total contributions for each committee as reported on the Form 460 <ul style="list-style-type: none"> Each committee linked to the initiative has its own section on the page indicating the committee name, ID, position (support/oppose) election cycle and corresponding contribution amount, and cumulative totals Review and remove any previously entered Form 497 expenditures that are included in a subsequent Form 460 Committees may transfer funds to another committee. The transfer transactions are listed in the Transfers column and are subtracted from the Contribution Amount + 497’s total If the paper Form 460 has been pulled to record totals, re-file the form in the Public Area file
Step 3: PRD-Expenditure Tracking Reviewer	Run and process LCR report <ul style="list-style-type: none"> In AMS, navigate to Audit Tools -> Special Reports. Select and run the “LCR Review” Export the results as a text file Open the Access Database located on the shared drive Import the LCR Report text file, linking up data with existing tables Run a query to identify Form 497 filings Retrieve identified Form 497 filings from CAL-ACCESS
Step 4: PRD-Expenditure Tracking Reviewer	Enter Form 497 data into Spreadsheet <ul style="list-style-type: none"> Navigate to the shared drive and open the “sb-844-total-contributions” spreadsheet Enter the contributions for each committee as reported on the Form 497
Step 5: PRD-Expenditure Tracking Reviewer	Update PRD Website Content Management System <ul style="list-style-type: none"> Once all of the tabs on the spreadsheet have been updated: <ul style="list-style-type: none"> Navigate to the PRD Website content management system (Concrete 5) and open the appropriate html document page Type the totals from the spreadsheet into the html document and save



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> The CMS automatically generates and sends an email to the PRD managers requesting approval to publish
Step 6: PRD – Manager	Receive email request from CMS <ul style="list-style-type: none"> Review content to be published and approve or deny the request
Step 6.1: PRD – Manager	Approve publication content <ul style="list-style-type: none"> If publication content is approved, it is automatically published
Step 6.2: PRD – Manager	Deny publication content <ul style="list-style-type: none"> If publication content is denied, the CMS automatically generates and sends an email to the Expenditure Tracking Reviewer
Step 7: PRD- Expenditure Tracking Reviewer	Receive denial email from CMS <ul style="list-style-type: none"> If the publication was approved, refresh the website and view to ensure new content is correctly displayed If the publication was denied and the reason is due to <ul style="list-style-type: none"> Duplicate approval requests: then no further action is needed Potential errors: then review the spreadsheet and supporting documentation. Correct any errors and resubmit request for approval to publish, repeating actions starting with Step 5

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Filings of Form 460: Recipient Committee Campaign Statement and Form 497: Late Contribution Report
Frequency	<p>There are several deadlines per year which result in an influx of Form 460s. The actual number may vary by year, committee type, and financial activity. In order to manage the Form 497s on a flow basis, updates to the spreadsheet are done every month.</p> <p>Contributions listed on 497 filings must be added to the running totals not later than two business days after receipt of a late contribution report within 16 days of the election at which the measure will appear on the ballot. Contributions listed on a 460 filing must be added to the running totals no later than 5 business days after the date received. Contributions listed on a 497 outside of the 16-day period have no legal requirement to be added to the totals.</p>
Actors	<ul style="list-style-type: none"> Filers of Forms 460 and 497 PRD <ul style="list-style-type: none"> Expenditure Tracking Reviewer Manager
Inputs	<ul style="list-style-type: none"> Form 460: Recipient Committee Campaign Statement Form 497: Late Contribution Report LCR Report from AMS
Outputs	<ul style="list-style-type: none"> MS Excel Spreadsheet containing Expenditures SOS-PRD website display of Expenditures by Initiative
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division



PROCESS NARRATIVE	
	6 (Sections 18110 – 18997).
Constraints	No constraints identified.
Issues	<ul style="list-style-type: none">• AMS does not capture the Attorney General Number or Proposition Number assigned to a ballot measure<ul style="list-style-type: none">○ This information would make it easier to search for records, and would also provide better information on reports• The manual tasks in this process would be more efficient and less error-prone if automated<ul style="list-style-type: none">○ Example: AMS does not provide functionality to easily track committees that are or should be linked to an initiative. This task is very time consuming with a high risk of missing committees that should be linked
Current Technology	<ul style="list-style-type: none">• AMS for PRD data entry and report generation• Excel spreadsheet located on the shared drive to capture/store/calculate expenditure totals. Each tab on the spreadsheet correlates to an initiative• Access Database located on the shared drive to process the LCR report exported from AMS• PRD Website Content Management System CMS – used to upload and publish expenditure data
Sub-Processes	No sub-processes identified.
Workarounds	<ul style="list-style-type: none">• AMS does not provide functionality to capture/store expenditure totals<ul style="list-style-type: none">○ WORKAROUND: This must be done on an Excel spreadsheet. The numbers must then be typed into the PRD website content management system for publication
Exceptions	No exceptions identified.



III.18 Process 18: Cashiering – Payments

III.18.1 Receiving Payments

Purpose

This process describes the activities and actions that occur when PRD receives payments for fees, fines and penalties, and other miscellaneous charges

Process Description

PRD receives payments sent in via mail (typically checks and money orders), presented in person (cash, checks, money orders or credit cards), or called in over the phone (credit cards). The Public area issues receipts for most payments; however, checks/money orders for Campaign annual fees and penalties are forwarded to the PDATA desk, while payments for fines requiring research are forwarded to the Fines Desk. Lobbying registration fees requiring research and resolution are forwarded to the Lobbying Registration reviewer.

Upon receipt of a payment, a record for the entity (campaign or lobby) to which the payment will be associated must be located or created in AMS. An entity record for any other type of customer is not required in order to issue the receipt. PRD prints and separates the receipt into two parts, which will be appropriately distributed. Various notations are written on the check/money order, based on the purpose of the payment. Posting the payment in AMS is done using Process 18.2 – Posting Payments.

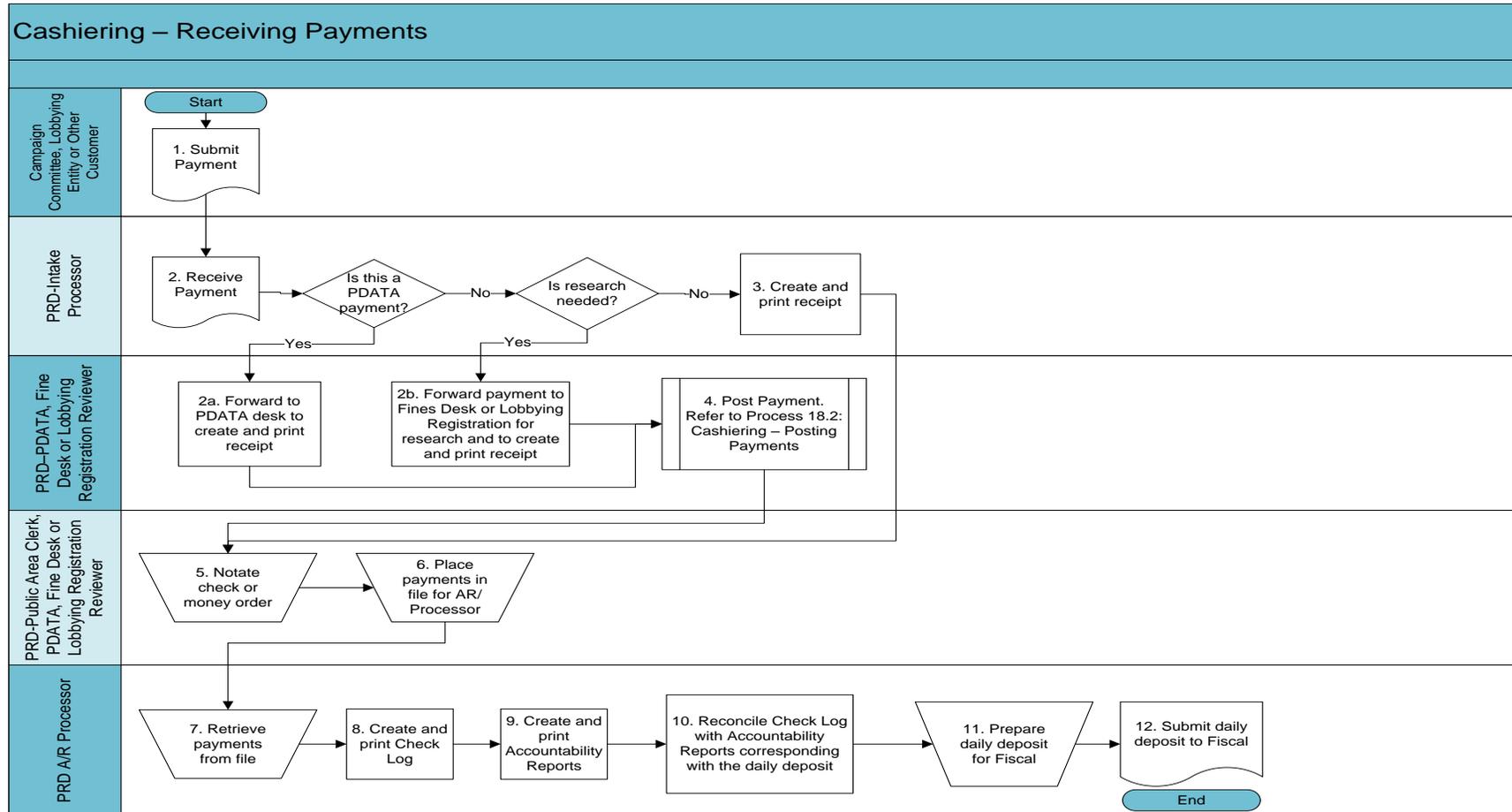
The Accounts Receivable (A/R) Processor is responsible for creating the check log and Accountability reports to support a daily deposit. PRD creates a manual check log, an Accountability Report based on the payments posted in AMS is generated, and a manual Accountability Report in MS Excel format is created. These documents are printed and reconciled, resolving issues as needed. Finally, PRD gathers all documents required for inclusion in the deposit for delivery to Fiscal.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to process payments received by PRD, from issuing receipts to preparation of the deposit for Fiscal.

Figure 25: Process 18.1 Cashiering – Receiving Payments





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> No assumptions were identified. 	
Step 1: Campaign Committee, Lobbying Entity or Other Customer	Submit Payment <ul style="list-style-type: none"> A payment is submitted for an annual fee or lobbying registration, or in response to a fine letter, or to cover a miscellaneous expense (such as: prepaid accounts, copies, electronic data file requests, miscellaneous contributions, etc.) <ul style="list-style-type: none"> Payments are accepted in the form of cash, check, money order or credit card Payment methods include mail (typically check or money order), in person (all forms) or by phone (credit card)
Step 2: PRD–Intake Processor	Receive Payment <ul style="list-style-type: none"> If this is a PDATA Annual Fee or penalty payment, go to STEP 2a If this is not a PDATA Annual Fee or penalty payment, and research is needed, go to STEP 2b If this is not a PDATA Annual Fee or penalty payment, and no research is needed, go to STEP 3
Step 2a: PRD–PDATA Reviewer	Forward to PDATA desk to create and print receipt <ul style="list-style-type: none"> The PDATA desk will issue the receipt Go to Step 3
Step 2b: PRD–Intake Processor	Forward payment to Fines Desk or Lobbying Registration for research and to create and print receipt <ul style="list-style-type: none"> Issues will be researched and resolved, and the receipt issued, as appropriate Go to Step 3
Step 3: PRD–Public Area Clerk , PDATA, Fine Desk or Lobbying Registration	Create and print receipt <ul style="list-style-type: none"> In AMS, navigate to the Create General Public Receipts page via File -> Open -> Public Area Enter the following: payment method, Name (if PDATA Annual Fee, penalty or fine payment, click Find Filer then enter ID number to populate), Purchase (reason for payment, e.g. Annual Fee, Fine Payment, Copies, etc.), Amount, Check/MO#, or credit card authorization number and Comments (per the designated type of purchase, for example, the Fine Desk would enter: Form #, paper or electronic filing, period covered and payer name if it does not match the Filer name) <ul style="list-style-type: none"> The Date defaults to the current date, but can be changed The Received By field defaults to the login owner, and cannot be changed The Receipt No field auto-populates when the Log Payment button is clicked If a payment is intended to cover more than one filer/entity, notate this information in the Comments section of the Receipt, for example: (1 of 2 \$200) Click the “Log Payment” button to save the record and automatically print the receipt



STEPS/ACTORS	DIRECTION
Step 4: PRD–PDATA, Fine Desk or Lobbying Registration Reviewer	Post Payment. Refer to Process 18.2: Cashiering – Posting Payments Post Payment. Refer to Cashiering – Posting Payments Process <ul style="list-style-type: none"> Refer to Process 18.2 Cashiering – Posting Payments process document for work flow, step/action table and process narrative
Step 5: PRD–Public Area Clerk, PDATA, Fine Desk or Lobbying Registration Reviewer	Notate on check or money order <ul style="list-style-type: none"> Notate additional information as needed on the check or money order, per the purchase type Minimum information must include Filer ID# or Name and Accounting Code (per Check Coding Legend)
Step 6: PRD–Public Area , PDATA, Fine Desk or Lobbying Registration	Place payments in file for A/R Processor <ul style="list-style-type: none"> Place checks, money orders, and cash in the appropriate daily file. Attach corresponding receipts to the credit card receipt/authorization slips and place them in the appropriate daily file
Step 7: PRD-A/R Processor	Retrieve payments from file <ul style="list-style-type: none"> Pull documents from the daily file to prepare the daily deposit
Step 8: PRD-A/R Processor	Create and print the Check Log <ul style="list-style-type: none"> A check log is produced to support the daily deposit Navigate to the shared drive -> Documents -> check-logs and open the Excel template named “example.xls” Enter the date the receipts were issued, name of the checking account holder or payer, check number, ID#, and list the payment amount in the appropriate category column <ul style="list-style-type: none"> At the bottom left of the check log, for “Prepared by:” enter a check log designator that represents the number of pages and date <ul style="list-style-type: none"> For example, if a one page report – would be “08-25-2016-A.xls” <ul style="list-style-type: none"> A multiple page report would be shown as “08-25-2016-A.xls,” “08-25-2016-B.xls” etc. to show all check logs associated with this daily deposit At the bottom right of the check log, enter the range of receipt numbers representing the listed payments for this check log only Print the Check Log
Step 9: PRD-A/R Processor	Create and print Accountability Reports <ul style="list-style-type: none"> Both Accountability reports are produced to support a daily deposit TO PRODUCE THE AMS ACCOUNTABILITY REPORT: <ul style="list-style-type: none"> In AMS, navigate to the Audit Tools menu -> Audits/Reports/Batch Notices and select “Financial Reports” from the Report Type dropdown; then select “Accountability Report” from the Selected Report dropdown menu Enter the date of the receipts as the date of the report (defaults to current date) and click Run Report Print the AMS Accountability Report TO PRODUCE THE EXCEL ACCOUNTABILITY REPORT: <ul style="list-style-type: none"> On the shared drive, navigate to Documents -> Accountability Rpt and open the template named “accountabilityrpt.xls” (Excel spreadsheet) Enter the data from the check logs



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> Print the Excel Accountability Report
Step 10: PRD-A/R Processor	Reconcile Check Log with Accountability Reports corresponding with the daily deposit <ul style="list-style-type: none"> Compare the transaction totals on the Check Log with both Accountability Reports and resolve any discrepancies
Step 11: PRD-A/R Processor	Prepare daily deposit for Fiscal <ul style="list-style-type: none"> Gather the following items for the daily deposit: <ul style="list-style-type: none"> 1 copy each of the AMS and Excel Accountability Reports 1 copy of Check Log(s) Checks and money orders <ul style="list-style-type: none"> Run two (2) adding machine tapes for all the checks/money orders and attach to checks/money orders Cash (placed in an envelope) Credit Card Receipts with the PRD Merchant Authorization slips and Daily Settlement report Note: PRD keeps a copy of the Accountability Reports, all receipts and Check Log(s) Note: Some of the actions in this process step are at the discretion of Fiscal and may be changed
Step 12: PRD-A/R Processor	Submit daily deposit to Fiscal <ul style="list-style-type: none"> Hand-carry and submit the deposit to Fiscal

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	PRD receives a payment by mail, in person or over the phone.
Frequency	The peak period for PDATA Annual Fee payments is November through January, while Lobbying Registrations are typically received November of even-numbered calendar years through the ensuing month of March.
Actors	<ul style="list-style-type: none"> Campaign Committee, Lobbying Entity or Other Customer PRD Staff <ul style="list-style-type: none"> Intake Processor PDATA Reviewer Fines Desk Reviewer Lobbying Registration A/R Processor
Inputs	Checks, money orders, cash, credit card slips.
Outputs	<ul style="list-style-type: none"> Receipts Check Log Accountability Report (AMS) Accountability Report (Excel spreadsheet) Credit Card Merchant Authorization slip Credit Card Daily Settlement report Adding Machine Tapes (2 – done at SOS Fiscal's discretion)



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> If needed, Transaction Details report from AMS
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints identified.
Issues	<ul style="list-style-type: none"> In AMS, on the Filer Search results page, if multiple records are returned, AMS only displays 1-1/2 lines of entry. Information is cut off, and it is not possible to resize the row to view the entire entry In AMS, on the Create General Public Receipts page, it is possible to blank out the “Received By:” name. However, in order to re-populate this field, the user must exit and open a new page. If the payment is logged without a “Received By:” name, the receipt will not display the user who logged the payment On the receipt screen, if the user clicks “Clear,” the Received By field (auto-populated based on login) is also cleared and cannot be re-populated <ul style="list-style-type: none"> The user must close the current screen and open a new screen to re-populate the field After the user clicks “Log Payment,” a sub-window appears displaying the Receipt number. The purpose of this window is unclear, since the user only has the option to click OK or close the window, after which the Receipt number will appear on the Receipt itself. This system operation seems redundant In addition, after various transactions, a sub-window appears stating “Database updated.” This system operation seems redundant The Check Log should be automated in the new system When running the AMS Accountability Report, the user cannot perform any actions within other computer programs (e.g. MS Word). The max time to run this report is estimated at 10 minutes On the AMS Accountability Report screen, the “Prepared By” line at the bottom of the report sometimes shows “Error in Names” AMS does not allow the user to effectively sort, filter or otherwise organize the Financial Tab where the payments are viewed In AMS, when trying to retrieve a transaction, the user must click the “Retrieve Transaction” button after entering the ID. Pressing the Enter key after entering the ID causes the action to be cancelled, because “Cancel” is the active button



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> • On the “View All Transactions” screen, AMS does not identify the person who issued the receipt. The user must print the receipt to see who issued it • In order to view or reprint a receipt, a user must access the receipt in modify mode • AMS does not provide an audit trail for changes made to a receipt. If a receipt is reprinted (which must be done in modify mode), the “issuer” name becomes the name of the person who last clicked on the receipt – regardless of whether or not any changes were made <ul style="list-style-type: none"> ○ There is nothing to show who originally issued the receipt, as AMS does not present a history (although this information can only be obtained by designated PRD staff) • AMS presents a Financial History list; however, the lines of information/description are not fully viewable. They are cut off, and the area cannot be resized to view the full description
Current Technology	<ul style="list-style-type: none"> • AMS for PRD data entry and reports • Shared Drive for various Excel Documents needed to create reports (e.g. Check Log, Accountability Report, etc.) • Credit card machine for transaction authorization and daily settlement reports
Sub-Processes	<ul style="list-style-type: none"> • Pre-paid accounts • FTB/FPPC copies • Miscellaneous anonymous donations • Electronic data file requests
Workarounds	<ul style="list-style-type: none"> • Any element on an AMS-generated receipt can be changed, except a check number <ul style="list-style-type: none"> ○ WORKAROUND: A notation can be made in the comments section of the receipt • AMS does not provide the functionality to delete a receipt <ul style="list-style-type: none"> ○ WORKAROUND: A user must change the receipt amount to zero and add a comment explaining the change. This action can only be performed by a user with appropriate authorization
Exceptions	<ul style="list-style-type: none"> • If a PDATA payment is received over the counter or during peak processing times, the Public Area Clerk will create the receipt and forward the payment to PDATA desk • To resolve discrepancies in Accountability Reports/Check Logs, the AMS Transaction Details report may be used • The Secretary of State’s office does not accept foreign checks as a form of payment



III.18.2 Posting Payments

Purpose

This process describes the activities and actions that occur when posting a payment received for an Annual Fee or penalty, Campaign or Lobbying Fine, or a Lobbying registration.

Process Description

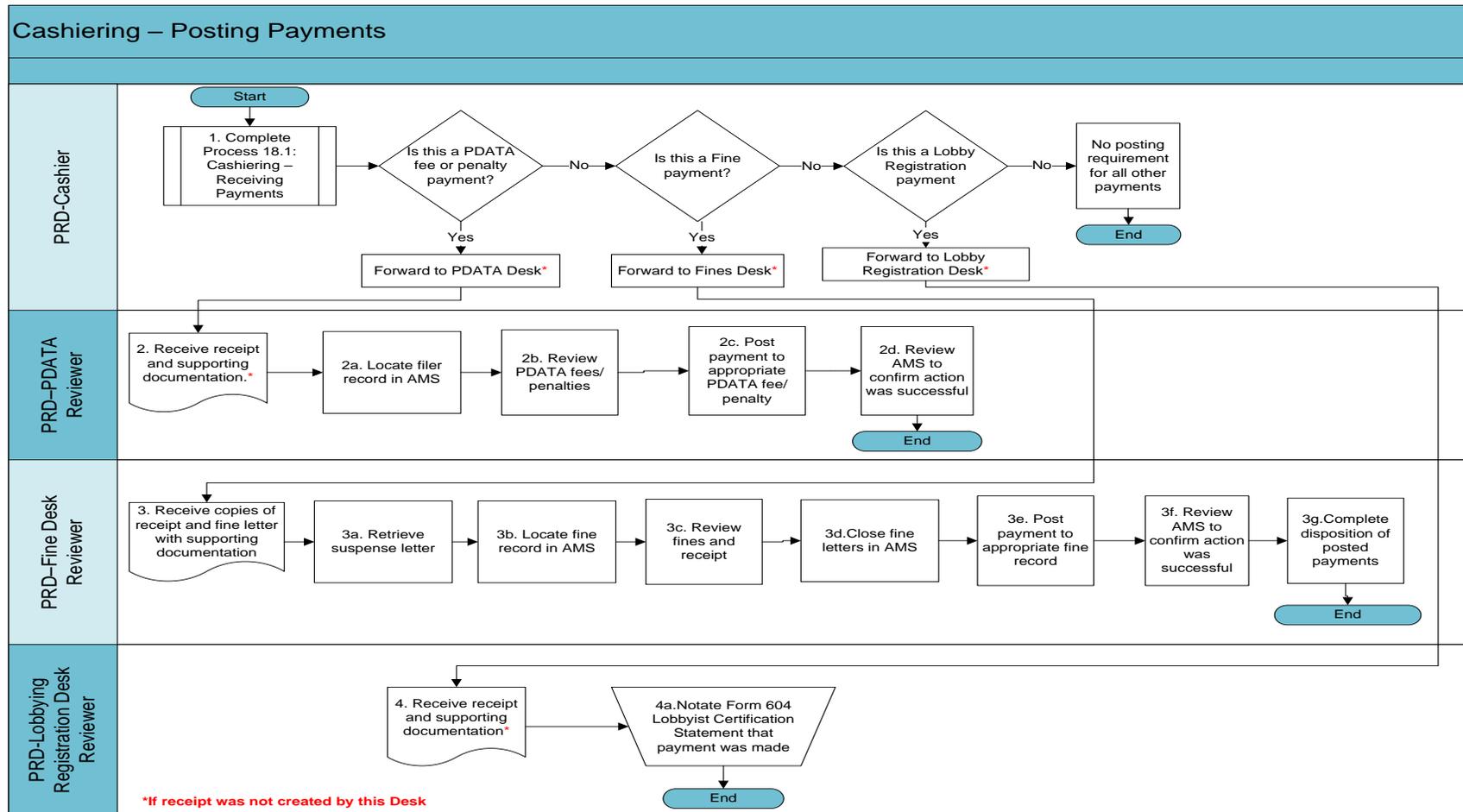
After a payment is received and a receipt created, the payment and supporting documentation is forwarded to the appropriate desk for posting in AMS. Some payments, such as miscellaneous charges for copying, are credited to a General Fund, and do not require posting. Payments made for annual fees and penalties are posted by the PDATA desk, campaign and lobbying fines are posted by the Fines desk, and lobbying registration fees are manually notated on the Form 604 by the Lobbying Registration desk (the latter is not an automated process).



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to process payments received by PRD, from issuing receipts to preparation of the deposit for Fiscal.

Figure 26: Process 18.2 Cashiering – Posting Payments





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
<p>Assumptions:</p> <ul style="list-style-type: none"> • As per the Receiving Payments process, PRD has received and issued a receipt for a payment representing one of the following <ul style="list-style-type: none"> ○ Committee annual fee and/or penalties (PDATA) ○ Campaign/Lobbying Fines ○ Lobbying Registration 	
<p>Step 1: PRD–Cashier</p>	<p>Complete Process 18.1: Cashiering – Receiving Payments</p> <ul style="list-style-type: none"> • For purposes of this business process, the term “cashier” applies to any PRD staff who receives a payment and issues a receipt. This includes, but may not be limited to: Public Area, PDATA, Fine Desk or Lobbying Registration • This process must be completed before the payment can be posted • The payment is distributed for posting as follows: <ul style="list-style-type: none"> ○ If PDATA Annual Fee or penalty payment, go to Step 2 ○ If Campaign/Lobbying Fine payment, go to Step 3 ○ If Lobbying Registration payment, go to Step 4 ○ If the payment does not represent one of the above, it is not posted in AMS
<p>Step 2: PRD – PDATA Reviewer</p>	<p>Receive receipt and supporting documentation*</p> <ul style="list-style-type: none"> • If the PDATA desk did not create the receipt, then it receives the receipt and supporting documentation
<p>Step 2a: PRD – PDATA Reviewer</p>	<p>Locate filer record in AMS</p> <ul style="list-style-type: none"> • Perform a search in AMS to locate the filer record
<p>Step 2b: PRD – PDATA Reviewer</p>	<p>Review PDATA fees/penalties</p> <ul style="list-style-type: none"> • Review the PDATA Annual Fees and/or penalties applied to the filer account
<p>Step 2c: PRD – PDATA Reviewer</p>	<p>Post payment to appropriate PDATA fee/penalty</p> <ul style="list-style-type: none"> • Highlight and select the appropriate fee/penalty record • Enter the posting date. For payments received via mail <ul style="list-style-type: none"> ○ If the payment is received on or before the January 15th due date and the 15 day grace period has not passed, then use the receipt date ○ If the payment is received after the January 15th due date and the 15 day grace period has passed, then use the postmarked date on the envelope • Enter the amount and receipt number • Click the Update button
<p>Step 2d: PRD – PDATA Reviewer</p>	<p>Review AMS to confirm action was successful</p> <ul style="list-style-type: none"> • Review the filer record to confirm the payment was successfully and accurately posted
<p>Step 3: PRD – Fines Desk Reviewer</p>	<p>Receive copies of receipt and fine letter with supporting documentation*</p> <ul style="list-style-type: none"> • If the Fines desk did not create the receipt, then it receives a copy of the receipt, the fine letter and supporting documentation
<p>Step 3a: PRD – Fines Desk Reviewer</p>	<p>Retrieve suspense letter</p> <ul style="list-style-type: none"> • Pull the corresponding suspense letter from the Suspense Copy



STEPS/ACTORS	DIRECTION
	Cabinet and staple to back of copies of the receipt and fine letter, and supporting documentation
Step 3b: PRD – Fines Desk Reviewer	Locate fine record in AMS <ul style="list-style-type: none"> Locate the record to which the Fine will be posted
Step 3c: PRD – Fines Desk Reviewer	Review fines and receipt <ul style="list-style-type: none"> Review the fines applied to the filer account Review the receipt copy for accuracy
Step 3d: PRD – Fines Desk Reviewer	Close fine letters in AMS <ul style="list-style-type: none"> In AMS, navigate to the Correspondence tab and identify all letters associated with the fine payment Change the status of these letters to “Closed”
Step 3e: PRD – Fines Desk Reviewer	Post payment to appropriate fine record <ul style="list-style-type: none"> In AMS, navigate to the File-> Fines = Post Fine Payment/Refund option <ul style="list-style-type: none"> Highlight and select the appropriate fine record Enter the date listed on the receipt copy as the date paid Enter the amount paid and receipt number Click the Update button
Step 3f: PRD – Fines Desk Reviewer	Review AMS to confirm action was successful <ul style="list-style-type: none"> Review the filer record to confirm the payment was successfully and accurately posted Confirm that the status of all corresponding fine letters is set to Closed
Step 3g: PRD – Fines Desk Reviewer	Complete disposition of posted payments <ul style="list-style-type: none"> Distribute posted fine payment documentation to appropriate black bins for filing with the entity’s original folder
Step 4: PRD – Lobbying Registration Reviewer	Receive receipt and supporting documentation* <ul style="list-style-type: none"> If the Lobbying Registration desk did not create the receipt, then it receives the receipt and supporting documentation
Step 4a: PRD – Lobbying Registration Reviewer	Notate Form 604 Lobbyist Certification Statement that payment was made <ul style="list-style-type: none"> This is a manual process only, as AMS does not provide functionality to support entry and tracking of Lobbying Registration payments

*If receipt was not created by this Desk

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	PRD receives a payment and issues a receipt. The payment may be submitted with a filing, a response to a fine or penalty letter, or for a miscellaneous expense, such as photocopies. Payments for fees, fines or penalties are posted to the appropriate record in AMS.
Frequency	The peak period for PDATA Annual Fee payments is November through January, while Lobbying Registrations are typically received November of even-numbered calendar years through the ensuing month of March.
Actors	<ul style="list-style-type: none"> PRD Staff



PROCESS NARRATIVE	
	<ul style="list-style-type: none"> ○ PDATA ○ Fines Desk ○ Lobbying Registration
Inputs	<ul style="list-style-type: none"> ● Receipts ● Documents supporting receipts (e.g. filings, correspondence regarding fees, fines and penalties)
Outputs	<ul style="list-style-type: none"> ● Notated receipt copies and supporting documentation (Campaign and Lobbying Fines) ● Notated form 604 (Lobbying Registration)
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints identified.
Issues	<ul style="list-style-type: none"> ● On the Post Fine Payment/Refund page, the user must check the box for “Enter Reference Receipt” in order to display the Reference Receipt field. This field should be automatically displayed and also should be required since it is necessary for reconciliation purposes ● The AMS Correspondence page does not allow the user to effectively sort the data for viewing. For example, if sorting by the date fields, all of the January months will be grouped together without regard for the year, same for February, etc. ● The AMS Correspondence and Financial pages do not allow the user to filter records for viewing ● On the AMS Correspondence List page, it would be helpful to have the ability to right click on a record and change the status to Closed, rather than having to view the correspondence detail page and perform this action ● Lobbying Registration: AMS does not provide functionality to support entry and tracking of Lobbying Registration payments <ul style="list-style-type: none"> ○ When an initial lobbying registration is entered, AMS automatically applies a \$100 payment to the record <i>even if the payment was not received, or an amount different than \$100 was paid</i> ○ If a lobbyist registers in the second year of the legislative session, the fee is \$50. AMS does not provide functionality to capture this information or payment ○ If a lobbyist terminates with one entity and re-registers with another a new registration fee is due; however, AMS does not provide functionality to capture this information ○ If a lobbyist terminates with one entity and re-registers with the same entity, no payment is due. AMS does not capture this information ● If a payment is not received, or the payment amount is insufficient, the lobbyist is registered, but placed in suspense.



PROCESS NARRATIVE	
	<p>Although one letter is sent at the time of registration, there is no automated process to follow up if payment is not received in response to the letter. When time allows, a second notice is sent indicating the lobbyist may be referred to the FPPC</p> <ul style="list-style-type: none"> • If a payment is made on behalf of a lobbyist (e.g. by an employer/firm) there is no way to log this payment in AMS under the payer's name and attribute the payment to the lobbyist. This is problematic if the payment is to be distributed among more than one lobbying entity • If multiple payments or overpayments are received for a lobbyist, registration paperwork must be physically examined and verified with AMS registration information to determine <ul style="list-style-type: none"> ○ If a refund is due ○ Who should receive the refund in the case where payments were submitted by different payers • When a payment is received for a filer who has multiple fees/fines/penalties due, the reviewer must determine to which charge the payment should be applied
Current Technology	AMS for PRD data entry.
Sub-Processes	Reversing payments to correct data entry errors.
Workarounds	<ul style="list-style-type: none"> • If a lobbyist registers for a subsequent session, a new fee of \$100 is due and payable. AMS lacks functionality to capture this information, or allow staff to enter a payment that is collected <ul style="list-style-type: none"> ○ WORKAROUND: The Form 604 is thoroughly documented (and typically supplemented by a receipt) to show the actual payment received
Exceptions	No exceptions identified.



III.19 Process 19: Cashiering – Refunds

Purpose

This process describes the activities and actions that occur when PRD processes a request for refund of a payment.

Process Description

PRD receives payments sent in via mail (checks, money orders), presented in person (cash, checks, money orders or credit cards), or called in over the phone (credit cards). In some instances, such as duplicate or overpayments, or a reassessment of fines due to granting of a waiver to reverse fees, the SOS must return funds to the payer.

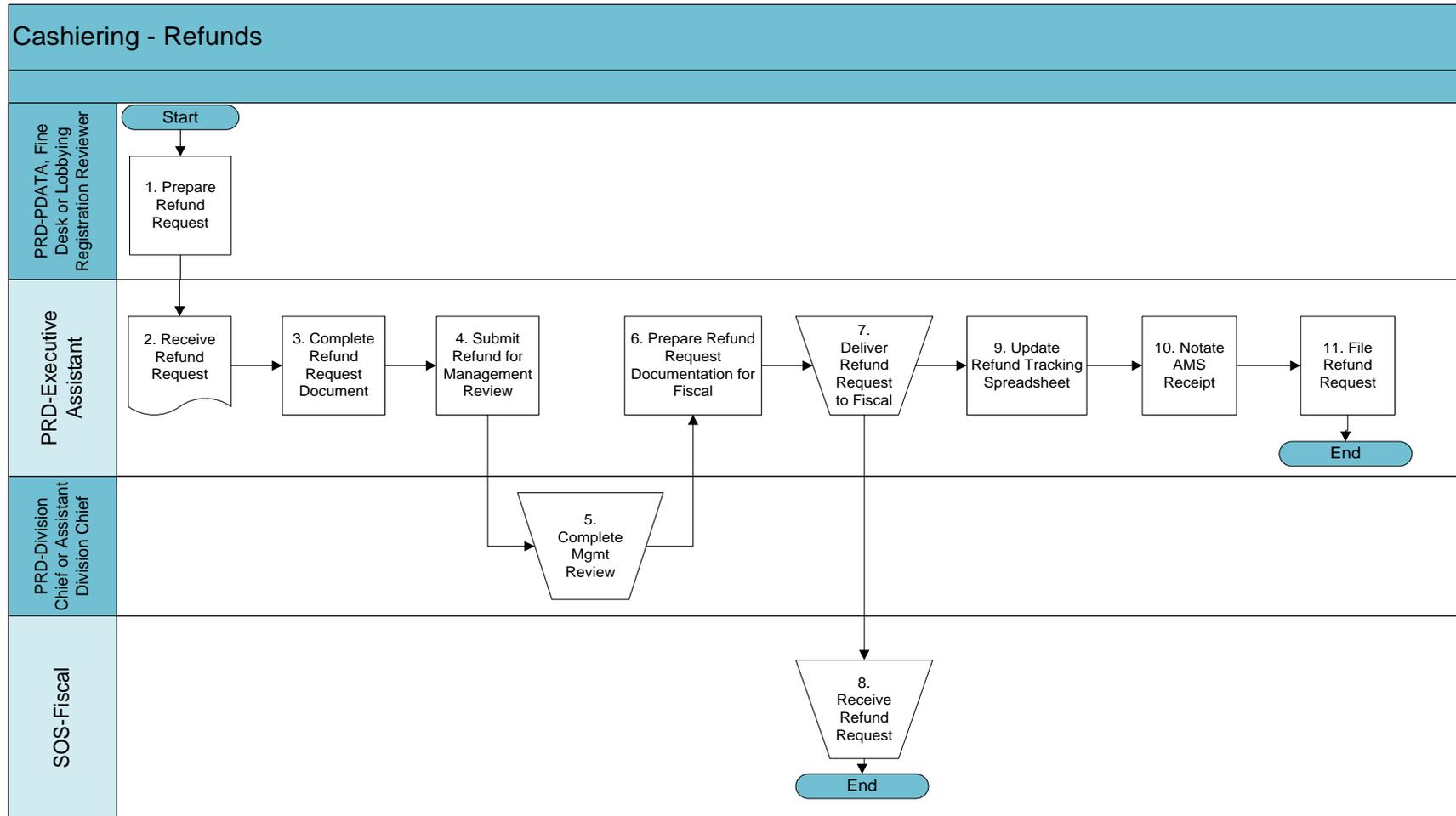
Refund requests are prepared by the PRD Fine Desk, PDATA, or a Lobbying Registration reviewer prepares refund requests and submits them to the PRD Executive Assistant for processing. The Executive Assistant completes a Refund Request document which includes the Filer's ID number and name, amount refund justification and various accounting codes. PRD reviews and submits the request, when approved, to the Secretary of State – Fiscal department. PRD then updates the Refund Tracking spreadsheet. All of the previously described processes are manual. The only automated task is the notation of the receipt in AMS indicating the refund.



Process Flow Diagram

This figure represents the actions taken by various individuals/entities to process refund requests.

Figure 27: Process 19 Cashiering – Refunds





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
<p>Assumptions:</p> <ul style="list-style-type: none"> • A payment has been received and processed by PRD • One of the following has occurred <ul style="list-style-type: none"> ○ A duplicate payment or an overpayment has been discovered, and research by PDATA, Lobbying Registration, or the Fines Desk indicates a refund is due; or ○ An entity (Campaign Committee or Lobbying Entity) has submitted a waiver request in response to notification of fines and/or penalties, and the waiver has been granted 	
<p>Step 1: PRD-PDATA, Fine Desk or Lobbying Registration Reviewer</p>	<p>Prepare Refund Request</p> <ul style="list-style-type: none"> • A refund request review is completed <ul style="list-style-type: none"> ○ If approved, the request is submitted to the PRD-Executive Assistant via a written document such as a copy of a notated receipt or filing ○ If denied and the payer initiated the request, inform the payer that the request was denied
<p>Step 2: PRD–Executive Assistant</p>	<p>Receive Refund Request</p> <ul style="list-style-type: none"> • Receive hardcopy refund request documentation • Navigate to the shared drive: Documents -> Refund Requests and open a new Refund Request word document
<p>Step 3: PRD–Executive Assistant</p>	<p>Complete Refund Request Document</p> <ul style="list-style-type: none"> • Enter the refund payee name and address, filer name (if different from refund payee), filer ID number, form number, refund justification • The requestor is the PRD Division Chief or PRD Assistant Division Chief • Indicate the type of charge that resulted in the payment under refund review (Fine: Regular/PDATA, Lobbying Registration, PDATA Annual Fee, other) • Original assessment is the full amount of the charges due to PRD, upon which the payment under refund review was made • Enter the Check and Receipt numbers • Amt. Assessment Reduced To (by PRD) – reflects the new amount of the charges due to PRD, related to the payment under refund review (i.e. the new total charge) • Amt. of Adjustment – reflects the difference between the original charge and the new total charge. If this is a negative number, then a refund is due • Amt. to be Refunded – indicates the total refund amount • Fund Code information – these codes can currently be located on the Secretary of State Intranet site at: Intranet Home -> Management Services Division -> Fiscal Services. They are found in <ul style="list-style-type: none"> ○ Index Codes ○ PCA Codes by Fiscal Year ○ Agency Source Codes (Revenue Source Code)
<p>Step 4: PRD–Executive Assistant</p>	<p>Submit Refund for Management Review</p> <ul style="list-style-type: none"> • Print the refund request and submit with supporting documentation to the PRD Division Chief or PRD Assistant Division Chief for review
<p>Step 5: PRD-Division Chief or Assistant Division</p>	<p>Complete Management Review</p> <ul style="list-style-type: none"> • Upon completion of review, return the documentation to the PRD –



STEPS/ACTORS	DIRECTION
Chief	Executive Assistant
Step 6: PRD–Executive Assistant	Prepare Refund Request Documentation for Fiscal <ul style="list-style-type: none"> The following documents are submitted to Fiscal <ul style="list-style-type: none"> Original Refund Request form Original Receipt The following documents are retained by PRD <ul style="list-style-type: none"> Photocopy of Refund Request form Photocopy of Receipt Other supporting documentation
Step 7: PRD–Executive Assistant	Deliver Refund Request to Fiscal <ul style="list-style-type: none"> Hand deliver the refund request packet to the SOS Fiscal counter
Step 8: SOS-Fiscal	Receive Refund Request <ul style="list-style-type: none"> Stamp date received on documents delivered from PRD
Step 9: PRD–Executive Assistant	Update Refund Tracking Spreadsheet <ul style="list-style-type: none"> Navigate to the shared drive: Documents -> Refund Requests -> Refund Requests (current fiscal year file) and open the current fiscal year Refund Tracking spreadsheet Enter the date the Refund Request was submitted to Fiscal; Filer Name and ID#, and the amount in the appropriate refund payment category (e.g. Annual Fee PDATA, Lobbyist Reg, Copies, Misc., etc.) <ul style="list-style-type: none"> The totals will automatically be updated
Step 10: PRD–Executive Assistant	Notate AMS Receipt <ul style="list-style-type: none"> In AMS, open the original receipt record in modify mode and add a comment that a refund request for this payment has been submitted to Fiscal
Step 11: PRD–Executive Assistant	File Refund Request <ul style="list-style-type: none"> File PRD documents in the appropriate cabinet

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> PRD identifies a duplicate payment, or an overpayment has been discovered, and research by PDATA, Lobbying Registration, or the Fines Desk indicates a refund is due An entity (Campaign Committee or Lobbying Entity) has submitted a waiver request in response to notification of fines and/or penalties, and the waiver has been granted
Frequency	Refund requests occur sporadically through the year, with no defined pattern.
Actors	<ul style="list-style-type: none"> PRD Staff <ul style="list-style-type: none"> Executive Assistant Fine Desk Reviewer PDATA Reviewer Lobbying Registration Reviewer SOS - Fiscal
Inputs	Refund request initiation documentation sent to Executive Assistant



PROCESS NARRATIVE	
	(e.g. receipt, filing form, etc.).
Outputs	<ul style="list-style-type: none">• Refund Request Form (manual form located on shared drive)• Refund Tracking Spreadsheet (located on shared drive)
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints identified.
Issues	<ul style="list-style-type: none">• Other than accessing a receipt in AMS to enter a notation or reprint it, all steps in this process are manual. Automation would be appreciated• There is no current process for PRD to receive verification from Fiscal that the refund has been issued. The information is visible in the CalSTARS system, if needed
Current Technology	<ul style="list-style-type: none">• AMS for PRD data entry• Shared Drive for Refund Request MS Word document and Refund Tracking Spreadsheet
Sub-Processes	No sub-processes identified.
Workarounds	<ul style="list-style-type: none">• Any element on an AMS-generated receipt can be changed, except a check number<ul style="list-style-type: none">○ WORKAROUND: In order to change a check number on an AMS-generated receipt, a notation must be made in the comments section of the receipt
Exceptions	No exceptions identified.



III.20 Process 20: Research and Inquiry Response

Purpose

This process focuses on general guidelines for conducting informational research and inquiries.

Process Description

It is not possible to provide specific process definitions for every potential scenario; however, the process narrative describes general tasks that occur when a request is received via phone, mail, email, or in person at the front counter. The request is reviewed and assigned to a PRD staff member for research, who will comply with the procedures governing the dissemination of information.

Some representative scenarios are:

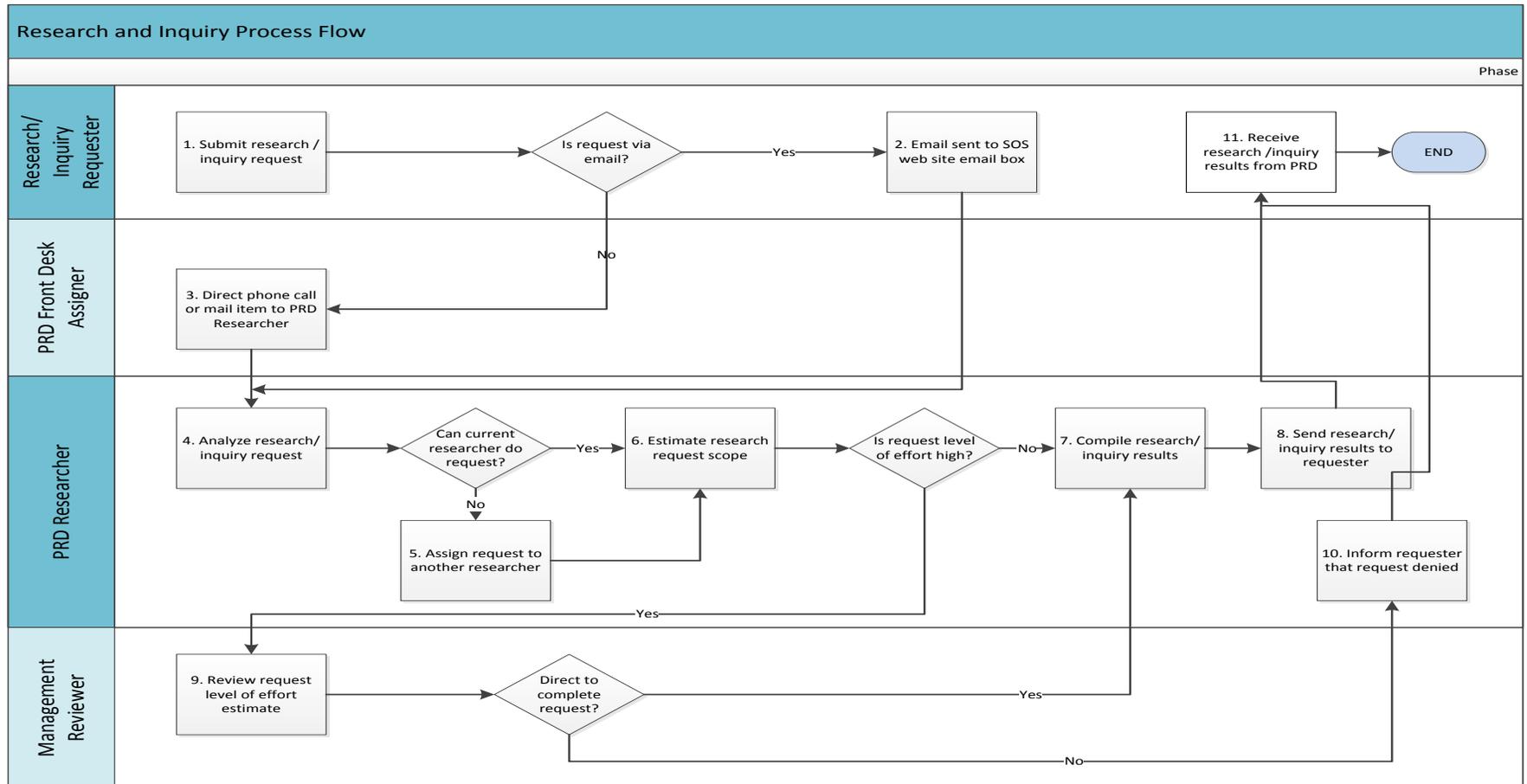
- Filers want to know the status of their committee identification number
- Filers constantly call PRD for address information and copies of the Forms 410, 460, 501 various lobbying forms
- Filers phone with questions regarding the lobbying registration process in general and to check on the status of their filings; and, the fundamental precept of the California Public Records Act (CPRA) is that governmental records shall be disclosed to the public, upon request, unless there is a specific reason not to do so, and most of these requests are processed within 10 days of receipt



Process Flow Diagram

The following diagram represents actions taken by various individuals/entities to conduct informational research and inquiries.

Figure 28: Process 20 Research and Inquiry Response





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: None	
Step 1: Research/Inquiry Requester	Submit Research/Inquiry Request <ul style="list-style-type: none"> Research/Inquiry requestor submits request via phone, mail, email, or at the front counter
Step 2: Research/Inquiry Requester	Email sent to SOS web site email box <ul style="list-style-type: none"> If the research/inquiry request is submitted via one of the SOS web site email boxes it is processed by a PRD researcher in Step 4
Step 3: PRD Front Desk Assigner	Direct phone call or mail <ul style="list-style-type: none"> If research/inquiry request is via phone, mail, or at the front desk it is either addressed by the front desk assigner or it is routed to a specific PRD researcher
Step 4: PRD Researcher	Analyze research request <ul style="list-style-type: none"> The PRD researcher analyzes the research/inquiry request and determines if they can fulfill the request, if they can then proceed to Step 6
Step 5: PRD Researcher	Assign request to another researcher <ul style="list-style-type: none"> If the original PRD researcher cannot fulfill the request it is assigned to a new PRD researcher either by the original PRD researcher or by a management reviewer
Step 6: PRD Researcher	Estimate research request scope <ul style="list-style-type: none"> Researches and estimates the research request level of effort If the estimated research request level of effort is high the researcher submits it to a management reviewer; go to Step 9
Step 7: PRD Researcher	Compile research results <ul style="list-style-type: none"> Compiles the research/inquiry request results
Step 8: PRD Researcher	Send research results to requester <ul style="list-style-type: none"> Sends the research/inquiry results to the research requester via phone, email, or mail
Step 9: Management Reviewer	Review request level of effort estimate <ul style="list-style-type: none"> Reviews the research/inquiry request level of effort estimate If the management reviewer decision is to complete the work for the research/inquiry request, then directs the PRD researcher to proceed; from Step 7
Step 10: PRD Researcher	Inform requester that request is denied <ul style="list-style-type: none"> Informs research requester that request is denied and reason for denial
Step 11: Research/Inquiry Requester	Receive research results <ul style="list-style-type: none"> Receives research/inquiry results, or reason for denial, from PRD researcher



Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	<ul style="list-style-type: none"> • The process begins when a research/inquiry request is received via phone, mail, or email or over the counter. These requests are received from the general public, campaign and lobbying filers, other State organizations, executive staff, and researchers such as educational institution staff • There are special mailboxes on the SOS web site for online help, political reform, fine desk, and PRD e-filing. Several PRD staff members are assigned access to each mailbox, with one staff member assigned primary access to the mailbox and the others being backups in the event that the primary person is out of the office
Frequency	<ul style="list-style-type: none"> • Requests are received on a daily basis, and the volume exceeds 1,300 a month • One peak time is during the new legislative session lobbying registration filing period, between 11/1 and 12/31 in odd numbered years • Another peak time is experienced during each report filing period
Actors	<ul style="list-style-type: none"> • Research/Inquiry Requesters – filers, public, press office/ researchers, FPPC • PRD Front Desk Assigner • PRD Researcher • Management Reviewer
Inputs	<ul style="list-style-type: none"> • Research/Inquiry requests • AMS database • Filed hardcopy forms • Electronically filed statements/reports
Outputs	Research results that are generated manually, sometimes from multiple sources. The results are distributed manually via phone, email, mail or over the counter.
Regulations/Policies	Political Reform Act 84600 Online Disclosure; 81008; 81010 et al Internal PRD policies
Constraints	<ul style="list-style-type: none"> • The volume of documentation received makes it difficult to process and organize in a timely manner • Depending on where the paper filing is being processed it may slow the retrieval of documents • Manual processes slow progress • Filing deadlines create a lot of work at one time and the public is most interested in this information during these peak times • Data is not easily accessible in a cohesive manner • Reporting tools are not available to PRD staff



PROCESS NARRATIVE	
Issues	<ul style="list-style-type: none"> • Automated processes for researching information are not provided in current systems • After data is input, there are many limitations as to how the data can be manipulated, repurposed and distributed. This limitation forces manual workarounds to obtain the data necessary to address customer service and consulting services provided by the PRD as well as the FPPC • The PRA is not always concisely specific in its wording so that additional research is often required, sometimes involving FPPC, in order to clarify legal requirements • One of the fundamental purposes of the PRA is to “ensure receipts and expenditures in election campaigns are fully and truthfully disclosed...” The limitations of the current system negatively affect the proactive role PRD can execute in this area. The PRD processes and the automated systems force extensive manual intervention to execute and track the filings, leaving little time to ensure information is tracked and monitored. The risk to the stakeholders is the lack of complete and timely information • Because the system cannot be safely modified, existing free-form memo fields on forms have been used to capture new data elements as business needs have evolved and filer reporting requirements have changed. The critical data in these fields cannot be reliably searched and analyzed. In addition, most of these memos appear at the end of the statement and can easily be missed • The system lacks basic reports for system and program management. Further, the predefined reports that do exist produce unreliable and often incomplete data. Consequently, the staff cannot use the system to run reports that will help them with their work. Staff cannot do basic queries such as how many committees were processed in any time period or even how many non-filers there are in the system. SOS staff frequently relies on external, manual methods to track and manage workflow, such as spreadsheet based logs and hand counts • The systems design limits the stakeholders’ ability to quickly locate specific filer records and to easily customize searches to obtain the specific data needed in a form that is meaningful and lends itself to further analysis. Further, there is almost no ability to aggregate and report data in a meaningful way using only the automation tools available in CAL-ACCESS, such as reporting all expenditures by all candidates in a specific race in a specific election • The PRD website has different sections of summary information. Each of these sections interprets and collects the same data in



PROCESS NARRATIVE	
	<p>different ways. This leads to conflicting summary data depending on what section of the same website the client is viewing. Many times this prompts the client to call PRD for clarification and may lead them to discount the data they are seeing. PRD staff has to manually research the presentation of the data on the website to validate or explain differences</p> <ul style="list-style-type: none"> • Some data that appears on the Cal Access website is sourced through changes made in AMS. These changes that affect the website can distort the names and measures that appear on the website, and there is no way to track when this happens. Candidates and measures that appear on the ballot and committees controlled or associated with these entities are listed on the website to inform the public on where the campaign money is coming from. If a link or entity is deleted in AMS, the information will not show up on the website. There is currently no report to alert staff to when this occurs • There is no system-based method to track research assignments, workload, etc.
Current Technology	<ul style="list-style-type: none"> • AMS/Cal Access is used to access electronic filings when available • Excel is sometimes used to combine multiple sources of information
Sub-Processes	<ul style="list-style-type: none"> • PRD Front Desk assigners route phone calls and US mail to a specific PRD researcher • Emails sent to one of the SOS web site email boxes are routed automatically to a specific PRD researcher • The PRD researcher analyzes and estimates the research/inquiry request level of effort • If the research/inquiry request level of effort is high the request is referred to a management reviewer • If the management reviewer deems the estimate too high the PRD researcher is directed to send a denial of the request to the research requester • If the management reviewer deems the estimate is not too high the PRD researcher is directed to compile the research/inquiry request results • The PRD researcher sends the research/inquiry request results to the research requester
Workarounds	<ul style="list-style-type: none"> • Significant manual effort is required to collect and identify information from AMS and hardcopy sources • Excel is used to manage multiple sources of information
Exceptions	<p>Sometimes research requests can't be fulfilled by PRD, and the</p>



TECHNOLOGY MANAGEMENT SOLUTIONS

PROCESS NARRATIVE

research request is denied and the requester is then referred to other potential sources.



III.21 Process 21: Employee Accounts

Purpose

This process describes the activities and actions that occur in order to set up an employee account in one of several systems necessary to complete PRD tasks.

Process Description

PRD staff requires access to several systems to conduct day-to-day business. In addition to a Windows/Network account, staff uses ARTS and ASTROS for general employee tasks such as accessing the desktop computer and logging work attendance. Most staff also use AMS for data entry and review of filing information in conformance with FPPC requirements in publishing political donations and/or expenditures. The PRD Admin tool contains functionality to produce various reports. This tool is undergoing major revisions in technology and content to fix current functionality deficiencies in reports and the Lobbying Directory. Concrete 5 is the content management system (CMS) used to publish data on the PRD website; Toad is a tool to create and run SQL queries in order to obtain data from the AMS/CAL-ACCESS database. Generation of employee accounts for all of these systems begins with submission of a service request to ITD. PRD has direct access to update and/or delete employee accounts only for AMS and CARES. ITD manages the other named systems.

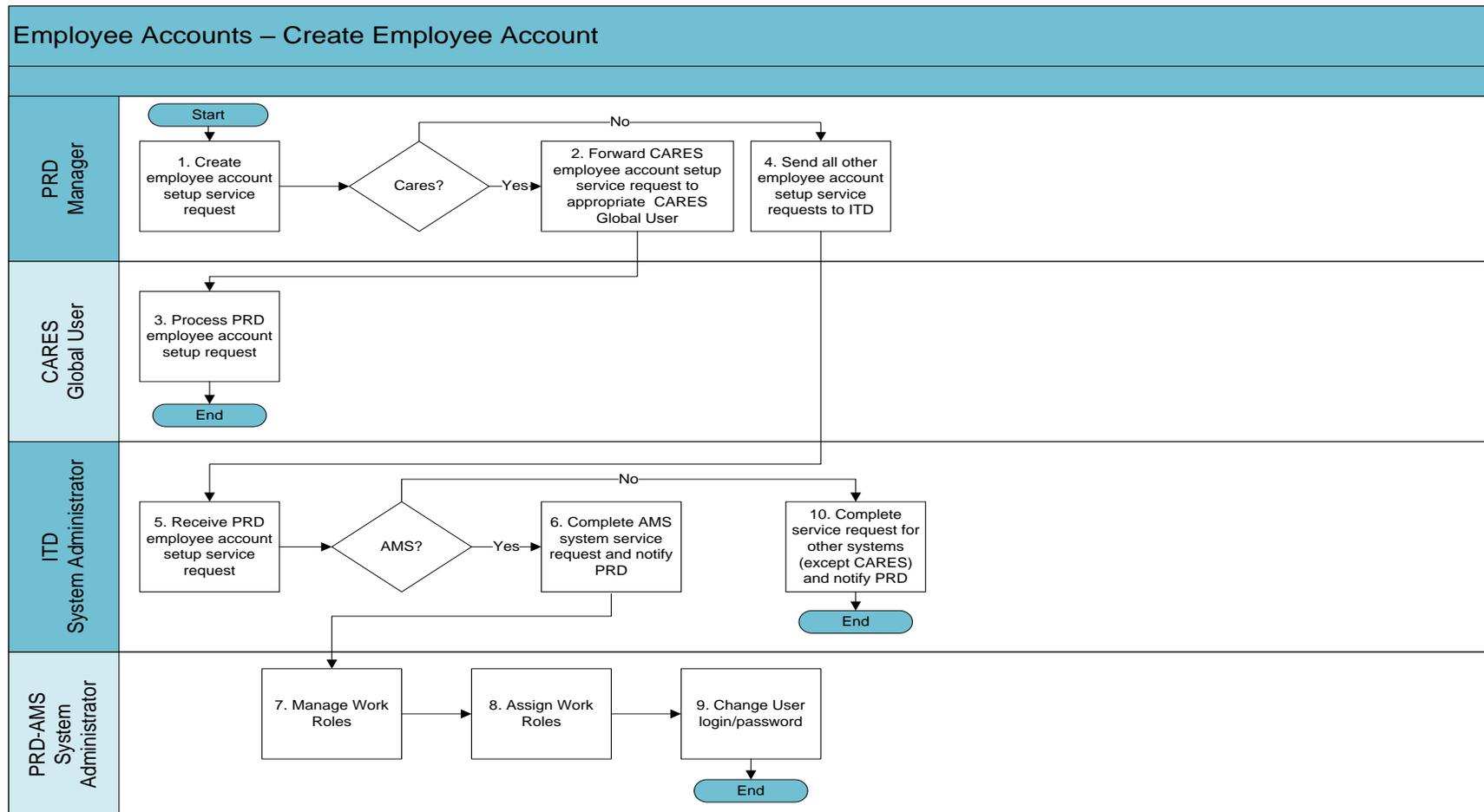
Note: The steps for ITD as shown in the embedded flow chart, are for process continuity only.



Process Flow Diagram

The following diagram represents actions taken by various individuals/entities when establishing a new Employee Account.

Figure 29: Process 21 Employee Accounts





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> • ITD fully manages (add, modify, delete) employee accounts for the following systems: Windows/Network, ARTS, ASTROS, PRD Admin Tool, Concrete 5 and Toad • The CARES Global User fully manages (add, modify, delete) employee accounts for CARES • The AMS System Administrator can modify employee accounts for AMS (manage/assign work roles, change user login/password). ITD adds, deletes and otherwise modifies these accounts 	
Step 1: PRD-Manager	Create employee account setup service request <ul style="list-style-type: none"> • Create the employee account setup service request for the appropriate systems • If the request is for CARES, go to Step 2 • If the request is for all other systems, go to Step 4
Step 2: PRD-Manager	Forward CARES employee account setup service request to appropriate CARES Global User <ul style="list-style-type: none"> • Send the CARES employee account setup request to the PRD Global User (typically a manager) who is responsible for maintaining employee user accounts <ul style="list-style-type: none"> ◦ A Global User in CARES may add, modify, delete, and change user permissions and access to employee user accounts
Step 3: PRD-CARES Global User	Process employee account setup service request <ul style="list-style-type: none"> • Log in to the CARES system and navigate to the Global Admin page • Select Add a User and enter the employee's name, a password and select a group (Global, Local, None) from the list • Click Add User <ul style="list-style-type: none"> ◦ There is a 24-hour wait for the account creation to propagate before the user can access the system • Provide the link to the CARES system along with the username and password to the employee for which the account was created • Notify PRD-Manager that request has been completed <p>NOTE: A "Global" group user (Admin role) is allowed to add, modify (password or group) and delete any user record. A "Local" group user (SOS non-Admin staff) can only view and modify SOS user records. A "None" group user can only view user records.</p>
Step 4: PRD-Manager	Send all other employee account setup service requests to ITD <ul style="list-style-type: none"> • Send all other employee account setup requests (including AMS) to the ITD-System Administrator
Step 5: ITD-System Administrator	Receive PRD employee account setup service request <ul style="list-style-type: none"> • If the request is for AMS, go to Step 6 • If the request is for any other system (except AMS or CARES), go to Step 10
Step 6: ITD-System Administrator	Complete AMS system service request and notify PRD <ul style="list-style-type: none"> • Create the employee account for AMS • Install the system icon on the employee's computer desktop • Notify the user of the login/password • Notify the PRD Manager that the account setup request has been



STEPS/ACTORS	DIRECTION
	completed
Step 7: PRD-AMS System Administrator	Manage Work Roles <ul style="list-style-type: none"> • In AMS, navigate to Tools -> Staff Administration • On the Staff Information screen, select the Work Roles tab • In the area entitled Work Description, right click to view menu options available based on the user's system privileges <ul style="list-style-type: none"> ○ Select Refresh to view a list of Work Roles ○ Select Insert to add a new Work Role ○ Select Delete to remove a Work Role ○ Select Save to save a modified record ○ Select Export or Print to view outputs from this screen (export requires a folder destination, file name and file type; Print sends directly to the computer's default printer) • Work Roles are used in the Assigning Work Roles Tab
Step 8: PRD-AMS System Administrator	Assign Work Roles <ul style="list-style-type: none"> • In AMS, navigate to Tools -> Staff Administration • On the Staff Information screen, select the Assigning Work Roles tab • Select a staff member from the Staff Resource dropdown list • Select the checkboxes appropriate to set user privileges for the selected staff member and click the Save button <ul style="list-style-type: none"> ○ Modifications can be made in the same way by unchecking boxes to remove a user privilege, and checking new boxes to add a new user privilege
Step 9: PRD-AMS System Administrator	Change User login/password <ul style="list-style-type: none"> • In AMS, navigate to Tools -> Staff Administration • On the Staff Information screen, select the Add PRD Staff Resource tab • In the middle area of the screen, right click to view menu options available based on the user's system privileges <ul style="list-style-type: none"> ○ Select Refresh to view Staff Resource Records ○ Select Insert to add a PRD Staff Resource <ul style="list-style-type: none"> ▪ Note: This functionality does not work, as a new Staff record must be added by ITD ○ Select Delete to remove a PRD Staff Resource <ul style="list-style-type: none"> ▪ Note: This functionality does not work, as a Staff record must be removed by ITD ○ Select Save to save a modified PRD Staff Resource <ul style="list-style-type: none"> ▪ Modifications to this record are limited to Application Login and Application Password ▪ Note: Information on the purpose of the Proxy Login and Password is not available ○ Select Export or Print to view outputs from this screen (export requires a folder destination, file name and file type; Print sends directly to the computer's default printer)
Step 10: ITD-System Administrator	Complete service request for other systems (except CARES) and notify PRD <ul style="list-style-type: none"> • Create the employee account for the appropriate system(s) • If needed, install system(s)/icons on the employee's computer desktop • Notify the user of the method to access the system(s) and login/password



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> Notify the PRD Manager that the account setup request has been completed <p>NOTE: For these systems, the ITD-System Administrator will perform account modifications or deletions upon receipt of a service request.</p>

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	A PRD employee needs access to a system/application that requires setup of a user account, login and password.
Frequency	This depends on the need for user accounts; typically done as part of PRD on-boarding, but may include setting up accounts for contractors, testing, etc.
Actors	PRD: <ul style="list-style-type: none"> Manager CARES Global User AMS System Administrator ITD System Administrator
Inputs	Service request for new employee account setup.
Outputs	<ul style="list-style-type: none"> Employee account login/password Completed service request
Regulations/Policies	Political Reform Act; California Code of Regulations, Title 2, Division 6 (Sections 18110 – 18997).
Constraints	No constraints were identified.
Issues	<ul style="list-style-type: none"> CARES – All records are viewable in a list. This list has no definition as to the sort order <ul style="list-style-type: none"> There is no functionality to sort or filter on this list There is no functionality to search for records AMS – On the Staff Information screen, under Assigning Work Roles, select a user from the Staff Resource dropdown list. This list is not in any designated order, cannot be sorted or filtered, and is not searchable AMS – On the Staff Information screen, under Add PRD Staff Resource – a menu item is presented to add a user; however, users are added only by ITD based on a service request. The same action is taken for deleting a PRD Staff Resource <ul style="list-style-type: none"> AMS presents two records for viewing. The user must use the scroll bar to view additional records. There is no general list where a record can be selected The records are not in any designated order, cannot be sorted or filtered, and are not searchable The screen contains a Proxy Login/Password option. Unable to locate information on the functionality of these fields



PROCESS NARRATIVE	
	<ul style="list-style-type: none">AMS Password Security – on the Staff Information screen, under Add PRD Staff Resource – if the user right clicks on a masked field (e.g. password), the masking is removed and characters are displayed as long as the mouse pointer hovers over that field. Once the pointer is removed from the field, the masking characters are displayedCARES – All user account requests are received via a single point of contact, and user account information is returned to that person who provides it to the userCARES – when entering a new employee record, a space must be inserted after the name, which is entered in all capital letters, in order for the system to accept the record<ul style="list-style-type: none">The point of contact is notified that the account was created and provided with the login and password. The email also informs of the space initially entered after the name and how the user may log in until ITD (who is blind-copied on the same email) removes the space
Current Technology	<ul style="list-style-type: none">Shared drive where Service Request templates are storedAny system to which a user account setup is being requested (e.g. Windows/Network, ARTS, ARTES, AMS, PRD Admin Tool, Concrete 5, Toad, etc.)
Sub-Processes	No sub-processes identified.
Workarounds	No workarounds identified
Exceptions	No exceptions identified.



III.22 Process 22: Intake (Receipt of Documents)

Purpose

This process describes the activities required to receive Forms, Waivers, Password Requests, CD Requests, Payments, Inquiries and Copy Requests from filers, and route them to their appropriate area. Estimated volume is up to 700 password requests and up to 2,000 forms.

Process Description

This process is the entry point for Forms, Waivers, Password Requests, CD Requests, Payments, Inquiries and Copy Requests (correspondence) into PRD. Correspondence may be received in person at the PRD Public Desk, E-Filing, phone, mail, email and fax. Depending on the type of correspondence, it is evaluated based on business rules and either sent back to the filer or routed to the appropriate PRD desk or Subject Matter Expert for further processing.

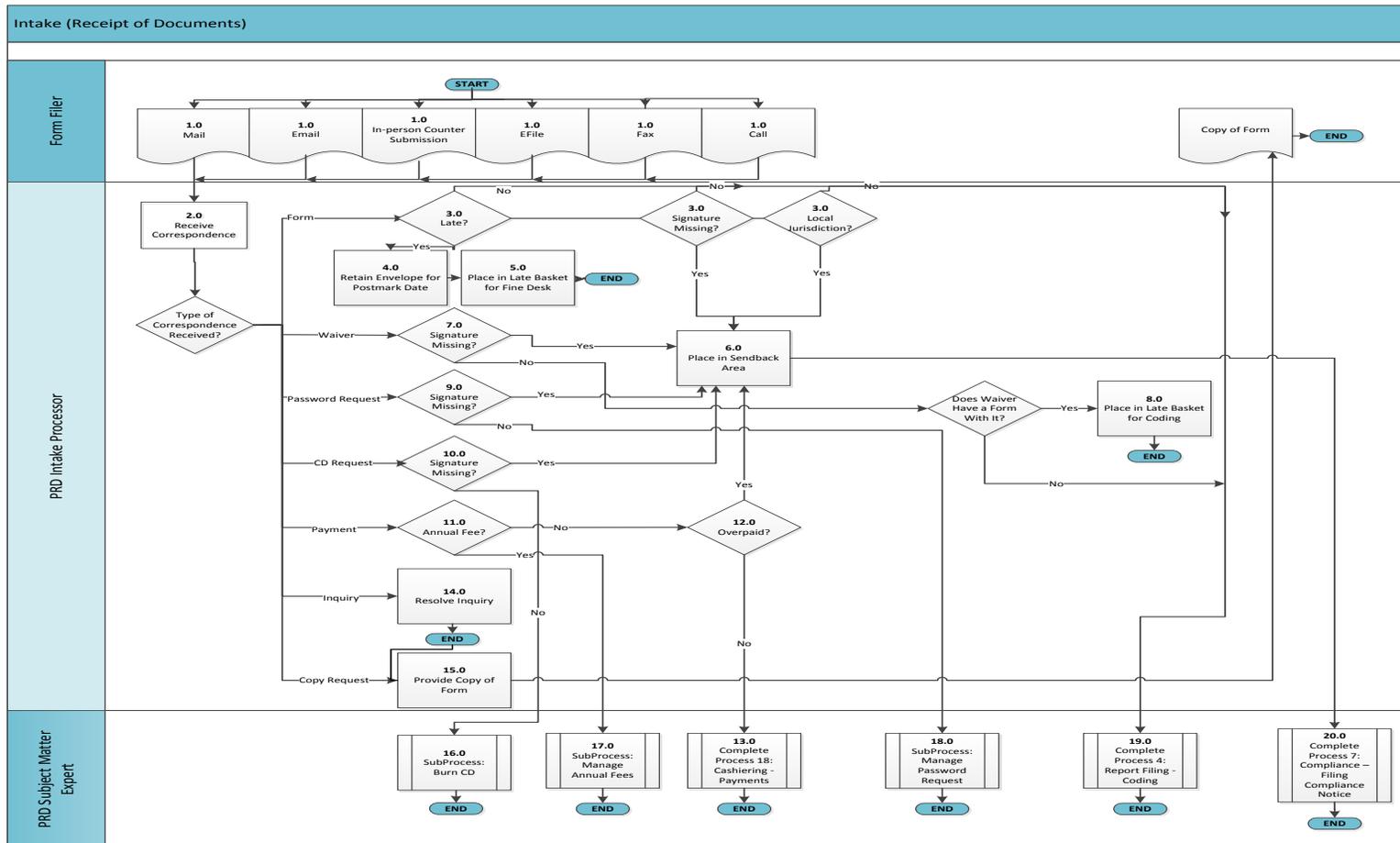
All forms are included in this process. (Every form except 501 can be E-Filed; forms 497 and 498 can only be E-Filed.)



Process Flow Diagram

The following diagram represents actions taken by PRD Public Desk to receive forms and other correspondence from filers and correctly route them.

Figure 30: Process 22 Intake (Receipt of Documents)





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
Assumptions: <ul style="list-style-type: none"> Correspondence has been received “Waiver” is also known as “Late Waiver” 	
Step 1: Form Filer	START 1: INTAKE FORMS Submit Correspondence <ul style="list-style-type: none"> Submit correspondence to PRD (Mail, email, in-person submission, E-File, fax, phone call)
Step 2: PRD Intake Processor	Receive Correspondence <ul style="list-style-type: none"> Receive correspondence Evaluate type of correspondence If correspondence is a form, continue; otherwise go to Step 7
Step 3: PRD Intake Processor	Evaluate Form for Late, Missing Signature and Local Jurisdiction (NOTE: These three conditions are evaluated simultaneously) <ul style="list-style-type: none"> If form is late, continue If form is not late, go to Step 19 If form is missing signature, go to Step 6 If form is not missing signature, go to Step 19 If form is local jurisdiction, go to Step 6 If form is not location jurisdiction, go to Step 19
Step 4: PRD Intake Processor	If Form is Late, Retain Envelope for Postmark Date <ul style="list-style-type: none"> Retain envelope for postmark date and attach it to form
Step 5: PRD Intake Processor	Place in Late Basket for Fine Desk <ul style="list-style-type: none"> Place late form in Late Basket for Fine Desk
END 1: INTAKE FORMS (LATE FORMS ONLY)	
Step 6: PRD Intake Processor	Place in Sendback Area <ul style="list-style-type: none"> Place form in Sendback area Go to Step 20
Step 7: PRD Intake Processor	If Waiver is Missing Signature <ul style="list-style-type: none"> If Waiver is missing a signature, go to Step 6 If Waiver is not missing a signature, continue
Step 8: PRD Intake Processor	If Waiver Has a Form With It <ul style="list-style-type: none"> If Waiver has a form with it, place in Late Basket for Coding If Waiver does not have a form with it, go to Step 19
END 1: INTAKE FORMS (WAIVERS WITH FORMS ONLY)	
Step 9: PRD Intake Processor	If Password Request is Missing Signature <ul style="list-style-type: none"> If Password Request is missing a signature, go to Step 6 If Password Request is not missing a signature, go to Step 18
Step 10: PRD Intake Processor	If CD Request is Missing Signature <ul style="list-style-type: none"> If CD Request is missing a signature, go to Step 6 If CD Request is not missing a signature, go to Step 16
Step 11: PRD Intake Processor	If Payment is an Annual Fee <ul style="list-style-type: none"> If payment is an annual fee, go to Step 17



STEPS/ACTORS	DIRECTION
Step 12: PRD Intake Processor	If Payment is an Overpayment <ul style="list-style-type: none"> If payment is an overpayment, go to Step 6 If payment is not an overpayment, continue
Step 13: PRD Intake Processor	Process Payment <ul style="list-style-type: none"> Complete Process 18: Cashiering – Payments END: INTAKE (PAYMENTS ONLY)
Step 14: PRD Intake Processor	Resolve Inquiry <ul style="list-style-type: none"> If correspondence is an inquiry, resolve inquiry If inquiry is made by phone call, direct caller to submit inquiry by email END: INTAKE (INQUIRIES ONLY)
Step 15: PRD Intake Processor	Provide Copy of Form <ul style="list-style-type: none"> Copy the form requested Provide to requester (mail, email, in person, fax) END: INTAKE (FORM COPIES ONLY)
Step 16: PRD Intake Processor	Burn CD <ul style="list-style-type: none"> Burn CD (sub-process) END: INTAKE (CD REQUESTS ONLY)
Step 17: PRD Subject Matter Expert	Manage Annual Fees <ul style="list-style-type: none"> Complete Process 18a: Cashiering - Receiving Payments and Process 18.2 - Cashiering - Processing Payments (Completed by PDATA Reviewer) END: INTAKE (ANNUAL FEES ONLY)
Step 18: PRD Subject Matter Expert	Manage Password Request <ul style="list-style-type: none"> Complete Process 1.1: Campaign Registration - ID and Password Desk Process (Completed by ID and Password Desk Clerk) END: INTAKE (PASSWORD REQUESTS ONLY)
Step 19: PRD Subject Matter Expert	Complete Coding <ul style="list-style-type: none"> Complete Process 4: Report Filing - Coding END: INTAKE (FORMS FOR CODING ONLY)
Step 20: PRD Subject Matter Expert	Process Sendbacks <ul style="list-style-type: none"> Complete Process 7: Compliance – Filing Compliance Notice END: INTAKE (SENDBACKS ONLY)

Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Correspondence received.
Frequency	Daily workload is dependent on correspondence received
Actors	<ul style="list-style-type: none"> Form Filer



PROCESS NARRATIVE	
	<ul style="list-style-type: none">• PRD Public Desk Intake Processor• PRD Subject Matter Expert
Inputs	<ul style="list-style-type: none">• Form• Waiver• Password Request• CD Request• Payment• Inquiry• Copy Request
Outputs	<ul style="list-style-type: none">• Routed Correspondence• Copy of Form (to Filer)
Regulations/Policies	<ul style="list-style-type: none">• FPPC filing guidelines• Political Reform Act Rev. 2016, Chapters 4 and 6• California Code of Regulations, Title 2, Division 6, Chapter 4
Constraints	Large volume of correspondence can slow progress.
Issues	No issues identified.
Current Technology	AMS – For checking overpayments.
Sub-Processes	<ul style="list-style-type: none">• Burn CD<ul style="list-style-type: none">○ Receive/evaluate request○ Prepare data required for CD○ Burn a CD○ Provide to requester
Workarounds	No workarounds identified.
Exceptions	Non-Filers have been handled during Intake in the past; currently this process is inactive.



III.23 Process 23: Help Desk

Purpose

This process describes the activities required to receive and resolve support requests from filers. Work with Information Technology (IT) or other PRD subject matter experts when required for final resolution. Transfer resolution responsibility to FPPC when required.

Process Description

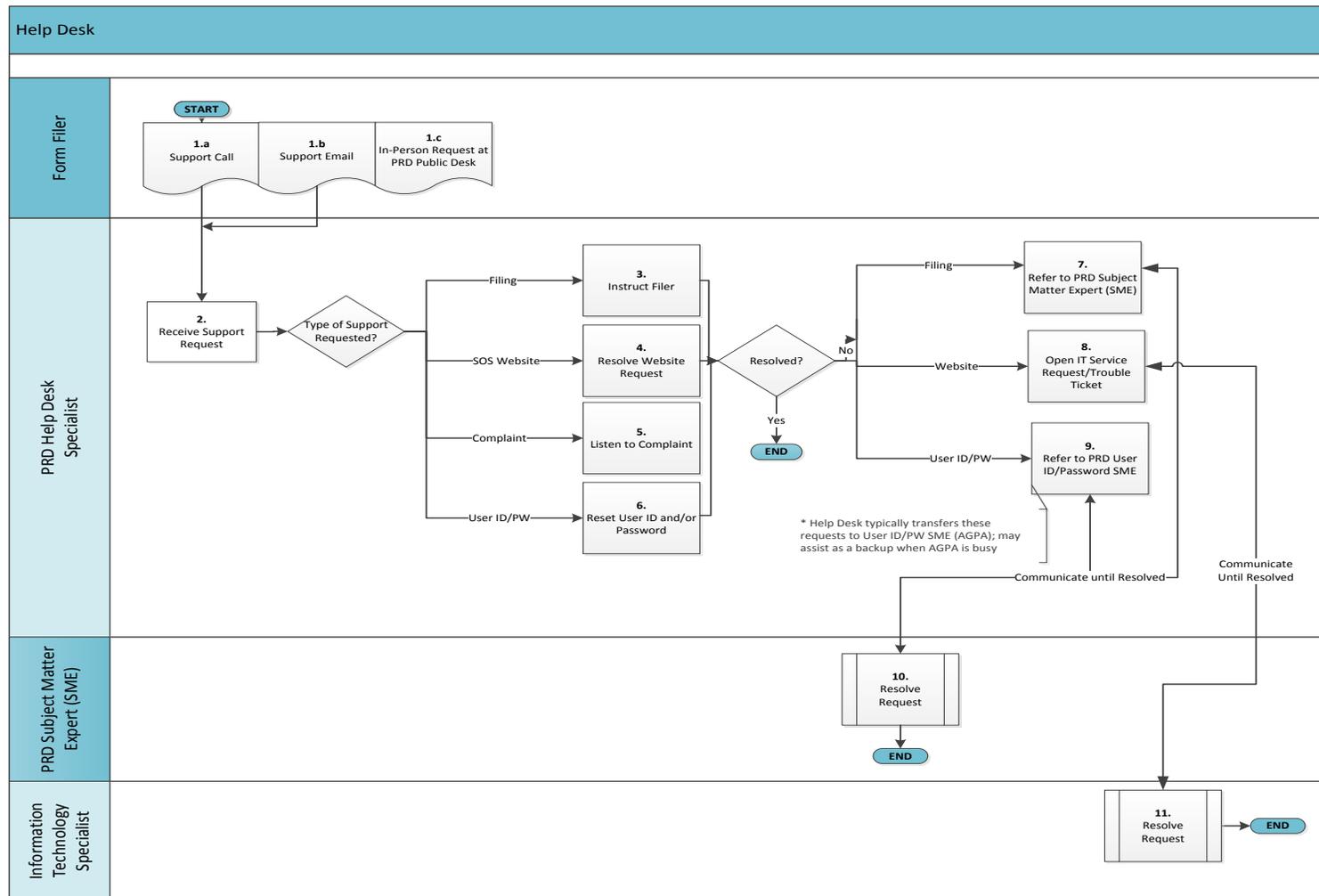
Monitor support email inboxes (Online Filing, Webmaster and personal Outlook inbox) to receive and process support emails. Respond to support calls from filers. On filing deadline evenings, this process is extended from regular business hours until midnight. Estimated daily volume of requests on normal days is 5-50 emails and 5-30 calls. Estimated daily volume of requests during filing deadline weeks is 5-100 emails and 5-60 calls.



Process Flow Diagram

The following diagram represents actions taken by various individuals/entities to resolve requests from filers.

Figure 31: Process 23 Help Desk





Process Step/Action Table

The following table provides a descriptive step/action narrative corresponding to the process flow diagram.

STEPS/ACTORS	DIRECTION
<p>Assumptions:</p> <ul style="list-style-type: none"> • Help Desk Program Senior Specialist receives the majority of support calls and emails documented in this process; other PRD staff may also receive calls/emails and route them to the Help Desk • On rare occasions a request is received by fax; this is not represented in the diagram • “Form Filer” may include client of filer 	
<p>Step 1: Form Filer</p>	<p>START: RESOLVE REQUEST Submit Request</p> <ul style="list-style-type: none"> • Call PRD to request support OR • Send email to request PRD support OR • Request PRD support in person at Public Desk
<p>Step 2: Help Desk Program Senior Specialist</p>	<p>Receive Support Request</p> <ul style="list-style-type: none"> • Monitor email inboxes to look for requests (Online Filing, Webmaster and personal Outlook inboxes)
<p>Step 3: Help Desk Program Senior Specialist</p>	<p>Determine Type of Support Requested; Resolve Filing Support Request If request type is filing support</p> <ul style="list-style-type: none"> • Instruct filer on how to file form, including these common scenarios: <ul style="list-style-type: none"> ○ When to file ○ Where to file ○ How to file ○ Differences between paper and electronic form formats ○ Dependencies in form filings (e.g., must file Form 601 to get to Form 605) ○ Form upload file size too big (see Workarounds) ○ Differences in form behavior for PC users vs. Mac users ○ Explanation of mandatory fields ○ Field size character limits not defined ○ Date, money and address field formats ○ Filing rejected ○ Differences in browser behaviors (Internet Explorer/Edge, Firefox, Chrome) • If request cannot be resolved, skip to Step 7
<p>Step 4: Help Desk Program Senior Specialist</p>	<p>Resolve SOS Website Support Request If request type is SOS website support</p> <ul style="list-style-type: none"> • Resolves request, including these common scenarios <ul style="list-style-type: none"> ○ User’s (filer’s) web session expired due to non-activity (ten minutes). After the expiration, website is not accessible to the user for another 20 minutes. Using the Bonker utility, Help Desk Specialist can override the 20-minute waiting period and allow the user to use the website immediately ○ If request is from a filer (or the general public) for a filer’s address (which is not published on the SOS website), looks up address and communicates to requester ○ Filing rejected ○ Help filer log on and complete form



STEPS/ACTORS	DIRECTION
	<ul style="list-style-type: none"> ○ Form not populating on preview (usually a browser issue) ○ Report from user that site is down or that user is having trouble accessing the sit <p>(NOTE: Resolution sometimes requires printing the form and comparing it to CalFormat User Guide.)</p>
Step 5: Help Desk Program Senior Specialist	Resolve Complaint If request type is complaint <ul style="list-style-type: none"> ● Listen to complaint (No further action available - See Issues section)
Step 6: Help Desk Program Senior Specialist	Resolve User ID/Password Request If request type is User ID/Password: <ul style="list-style-type: none"> ● Refer to PRD User ID/Password Subject Matter Expert (SME) ● If PRD User ID/Password SME is unavailable: <ul style="list-style-type: none"> ○ Add, update or delete user account in AMS AND/OR ○ Reset password <p>END: RESOLVE REQUEST (IF NO FURTHER RESEARCH NEEDED)</p>
Step 7: Help Desk Program Senior Specialist	Refer to PRD Subject Matter Expert (SME) If request requires further research to be resolved. <ul style="list-style-type: none"> ● Refer to PRD SME (e.g., Fine Desk, Compliance Review) ● Communicate with SME until resolved; communicate with requester if needed for final resolution
Step 8: Help Desk Program Senior Specialist	Open IT Service Request/Trouble Ticket If request requires further research to be resolved <ul style="list-style-type: none"> ● Open IT Service Request/Trouble Ticket using IT Service Request tool ● Communicate with IT Specialist until resolved; communicate with requester if needed for final resolution (NOTE: IT does not communicate with requester)
Step 9: Help Desk Program Senior Specialist	Refer to PRD User ID/Password SME If request requires assistance from IT to be resolved <ul style="list-style-type: none"> ● Refer to PRD Subject Matter Expert (e.g., Fine Desk, Compliance Review) ● Communicate with SME until resolved; communicate with requester if needed for final resolution
Step 10: PRD Subject Matter Expert	Resolve Request <ul style="list-style-type: none"> ● Receive request from Help Desk Program Senior Specialist ● Communicate with Help Desk Program Senior Specialist until resolved <p>END: RESOLVE REQUEST</p>
Step 11: IT Specialist	Resolve Request <ul style="list-style-type: none"> ● Communicate with Help Desk Program Senior Specialist and filer until resolved <p>END: RESOLVE REQUEST</p>



Process Narrative

The following table provides supporting information about the process, including frequency, inputs/outputs, issues, sub-processes and workarounds.

PROCESS NARRATIVE	
Trigger Event(s)	Support request has been received.
Frequency	Daily workload varies [Current volume is approx. 5-30 calls per day and 5-50 emails per day on normal days; 5-60 calls and 5-100 emails on filing week days].
Actors	<ul style="list-style-type: none"> • Form Filer • PRD Help Desk Specialist • PRD Subject Matter Expert • Information Technology Specialist • FPPC
Inputs	<ul style="list-style-type: none"> • Call for support • Email for support • In-person request for support
Outputs	<ul style="list-style-type: none"> • Resolved request • IT Service Request Ticket/Trouble Report closed
Regulations/Policies	<ul style="list-style-type: none"> • FPPC filing guidelines • Political Reform Act Rev. 2016, Chapters 4 and 6 • California Code of Regulations, Title 2, Division 6, Chapter 4
Constraints	No constraints identified
Issues	<ul style="list-style-type: none"> • Filers are not required to be trained on filing process and the deadlines they must adhere to; many filers call with very basic questions on how to use a PC; these calls can be time consuming • When receiving a complaint, PRD does not have the means to document the complaint. PRD also does not have authority to resolve many of the complaints received. Complaints are not escalated to other areas in PRD but the customer may be redirected to FPPC if the complaint involves filing deadlines • Filing rejected – error messages are not usable • Filers are sometimes unable to print a form; Help Desk Specialist must print the form and mail it to the filer • Filer and Help Desk Specialist cannot be logged into the same account at the same time; this hinders ability to resolve filer's request • Filer can only complete one form at a time; this creates a challenge when a filer is in progress filing one form (potentially with many pages) and must close out of that form in order to file another. For example, a filer is in progress with Form 461 and receives a contribution that requires filing a Form 497 immediately. The filer must save the Form 461, file Form 497, then return to the Form 461 filing and amend it in order to complete • Some requests or issues are never resolved. Outstanding requests are kept in a hardcopy 'Pending' file and reviewed for potential



PROCESS NARRATIVE	
	<p>resolution, including IT Service Request/Trouble Ticket status checking. The requester is kept informed of status, including the situations when a resolution cannot be reached</p> <ul style="list-style-type: none"> • There is no system-based method for tracking help desk inquiries, assignments, workload, trouble patterns, etc. • The current 20-minute wait period after a web session has expired does not serve PRD business needs and should not be present in a future solution
Current Technology	<ul style="list-style-type: none"> • SOS Public Website – to log in as user and understand their issue, then resolve • AMS – for user account management • AMSTest – for re-creating a requester’s form issue; creating a record and trying to file a form • Bonker – for restoring user website session in less than the 20-minute waiting period • CARES or CalOnline – for public requests for filer’s address (not available on SOS website) • IT Service Request/Trouble Ticket – for opening service tickets/trouble reports and viewing ticket/report status
Sub-Processes	IT Service Request/Trouble Ticket management
Workarounds	<ul style="list-style-type: none"> • If form upload file size is too big (usually when form includes 1,500 pages or more), refer to IT. IT will manually upload the form and, if after filing deadline, IT will backdate the form filing date to make it look as if the form was filed on time. IT will communicate with Help Desk Specialist during this time • There is no required logging of calls or request activity. Help Desk Specialist maintains a folder of request history, including unusual requests and how they were resolved
Exceptions	When requester is a Foreign Placement Agent (FPA), request resolution involves scheduling time to communicate with the FPA when the FPA operates from a different time zone. For example, the FPA may operate in a time zone that is 8 or more hours ahead of the PRD PST zone; coordinated communication is required.