CAL-ACCESS System

Business Rules Report

Version 3.1

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Advanced Software Design (ASD)

In conjunction with the State of California

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1. Overview

This report documents the business rules as they are currently implemented in the different sub-systems of the CAL-ACCESS system. A business rule is a logical rule regarding the functional requirement of the sub-systems. Examples of Business Rules are:

- ✓ "The penalty assessed to a filer for failing to submit document 'X by the filing deadline is calculated by multiplying 50 times the number of calendar days after the deadline"
- ✓ "The resulting list of candidates displayed are filtered by the district previously entered"

This report is limited to identification of the business rules that have been implemented in the CAL-ACCESS system and does not include further business process analyses or details of how the rules are implemented in the CAL-ACCESS modules.

The report also provides a hierarchy of the Political Reform Division's (PRD) business processes so each business rule can be presented in their appropriate context. This hierarchy was created based on a structure identified by the ASD Business Analyst (BA) and not on the structure of the CAL-ACCESS system or the functional organization within the PRD. Finally, this report contains a Glossary of the Business Terms.

2. Methodology

The ASD BA analyzed the CAL-ACCESS source code, by sub-system, to capture and document the business rules by sub-system. Whenever a business rule needed clarification, the BA met with the corresponding Secretary of State (SOS) Subject Matter Expert (SME) or sub-system owner, to discuss and then document the clarifications. These collaborative meetings were also used to provide or validate the definitions for the Business Terms included in the Glossary.

In order to organize the business rules in a cohesive structure that represents the way that CAL-ACCESS fits in to the PRD business processes, the business rules are grouped in functional areas so they are not duplicated for each system. The description also indicates the system(s) that the business rules are implemented within.

3. CAL-ACCESS Business Rules

3.1 System Definitions

The current CAL-ACCESS system was designed to support the activities carried out by the PRD in order to store and manage the public data necessary for carrying out the functions dictated by the Political Reform Act (PRA). The functions supported by CAL-ACCESS are:

1. Receipts and expenditures in an election.
2. The activities of lobbyists and their finances.
3. Providing public access to vitally important information regarding elections, candidates and campaign or lobbyist finances.
4. Providing the Fair Political Practice Commission (FPPC) in all necessary data used as required to enforce the requirements of the PRA.
5. Providing the necessary data required by the Franchise Tax Board (FTB) to carry out mandatory and random audits as required by the PRA.
6. The system is capable of capturing, storing, and reporting contact information for all filers such as address and telephone numbers.

Following is a description of the sub-systems which makeup the CAL-ACCESS system.

1. **CAL-ACCESS -Public Disclosure**

   Public Disclosure is the public web site of the SOS/PRD. It is the main interface through which the PRD provides the public with financial information supplied by state candidates, donors, lobbyists, and other political entities. It also makes available to the public and political entities the necessary information (in PDF format) for filing and reporting disclosure information related to Campaign Finance Activity, Lobbying Activity, or others as required by the PRA.

   a. **CAL-ACCESS -Searchable (DBSearch)**

      This system supports the Claims database. Data from the Claims database is migrated to this database and server periodically and it helps support search within the Public Disclosure website.

   b. **Cache Manager**

      This system caches queries to create faster response time for the Public Disclosure website.

2. **CAL-ACCESS -Agency Management System (AMS).**

   The AMS system was developed to support the PRD staff and provide easy access and functionality to the Claims database. This system provides the internal PRD staff with a user interface for entering hard copy forms and in maintaining both the electronic and hard copy information supplied to and by the political entities into the CAL-ACCESS database.

3. CAL-ACCESS –CalOnline

The CalOnline system provides filers with the ability to electronically file campaign and lobbying registration and disclosure statements online through a public website. Cal-Online offers filers another, no-charge filing alternative. Via the Internet, filers access the Cal-Online web site, enter their identification number and password, select the appropriate disclosure form, and enter the required data.

a. CAL-ACCESS -Background Services

This system provides temporary storage for CalOnline. It allows for load balancing and provides a means of storing a partially completed filing.

b. CAL-ACCESS -E530

E530 is a PRD form that can only be filed online. CAL-ACCESS -E530 provides the interface for the public users to file E530 online. It requires Filer ID and password to log in.

4. CAL-ACCESS -Electronic Filing System (EFS)

The EFS system provides major filers or vendors filing on their behalf, with the mechanism to submit the required PRA forms electronically directly into the CAL-ACCESS database. The EFS system accepts and validates electronic filings from CalOnline and directly from vendors.

5. CAL-ACCESS –CARES

CARES is a secure website with all campaign and lobbying registration and disclosure information and confidential information. CARES is used by PRD stakeholders, such as FPPC and FTB, to obtain information for the purposes of audit and filing compliance investigations.

6. CAL-ACCESS -PRD AdminTools (CaoAdm and PRDAdminToolsWebClient)

This system is used to administer the Claims Database server.

7. Lobbying Directory

This system is an executable windows application that is located on a PC in the PRD area. It creates the Lobbying directory in Word format. PRD staff then converts the file from Word to PDF and publishes it on CAL-ACCESS website. It is expected to be updated monthly.

8. Public Disclosure -Vendor Certification (PRDTEST)

PRD staff uses this application to generate a PDF file to validate whether a vendor's submittal is successful or not.

9. DBExport

This is a scheduled batch job which creates a raw data extract file and the Guides to CAL-ACCESS data structure and fields from the database on the daily basis. The raw data is presented in tab-delimited text files from corresponding tables in the CAL-ACCESS database. The data will be compressed and copied over to CDN (content delivery network).

The public can download the files from the SOS CAL-ACCESS website. This allows people with technical expertise to create their own databases.

10. CAL-ACCESS – PDF Generator

This utility allows automating the conversion of various printed system reports into the Portable Document Format (PDF) file.

After examining these systems, the following contained business rules for documentation into this report:

- AMS
- EFS
- CalOnline
- CARES
- Public Disclosure Website
- Admin Tool

The other systems are technical applications that support these major functional applications in some way and did not contain specific business rules for documentation.

The PRD SME's consulted for development of this report is:

Subject Matter	SME
Account creation, login and system access	
Lobbying registration	
Lobbying reporting (filing)	
Candidate registration (501s, etc)	
Campaign registrations	
Campaign reporting (filing)	
Enforcement (Fines, collection, waivers, etc)	
Payments and Collections	
System reports	

The following table correlates each business rule section to the specific CAL ACCESS sub-system.

Business Rule Section	CAL-ACCESS System(s)
3.2 Online Filing Application	CalOnline and EFS
3.3 Lobbying Entities	AMS, CalOnline, and EFS
3.4 Electronic Filing System	EFS
3.5 Enforcement	AMS
3.6 AMS Business Rules	AMS
3.7 Viewing Filer Records	AMS
3.8 Public Website	Public Disclosure
3.9 External Interfaces	CARES
3.10 System Configuration and Administration	Admin

3.2 Online Filing Application

These rules are common to CalOnline and EFS.

3.2.1 Campaign Registration

3.2.1.1 Campaign Registration: Amend Registration

The system allows an authorized user to update and amend the registration data for a campaign entity.

3.2.1.2 Campaign Registration: Filer Submission of Termination

The system allows an authorized user to submit a termination with submission of a termination date.

3.2.2 Campaign Reporting

3.2.2.1 Campaign Reporting: Submission of Regular Reports

The system allow users to enter and submit all campaign reports

3.2.2.2 Campaign Reporting: Amendment of Reports

The system allows users to amend campaign reports that have been previously filed.

3.3 Lobbying Entities

These rules apply to AMS, EFS, and CalOnline.

3.3.1 Registration (All): Fee Payments

The system captures stores and reports the record of fee payment(s) associated with each registration, including:

- Payment date
- Payment amount
- Payment method
- To which entity the payment applies
- Who made the payment

3.3.2 Lobbying Entities: Lobbying Firms Authorized By a Client

The system captures stores and reports the lobbying firms that the client has authorized to provide lobbying services on its behalf, including the effective dates (start and end dates) of that relationship.

3.3.3 Lobbying Registration

3.3.3.1 Lobbying Registration: Renewal Default Data

When a lobbying entity (firms, employers, lobbyist, PAs, and clients) renews its registration for a subsequent session, the system default all registration data, including links to other entities, with the exception of expired ethics training certification for lobbyists.

3.3.4 Lobbying Reporting

3.3.4.1 Lobbying Reporting: Lobbyists

The system allows lobbyists to complete and submit quarterly disclosure statements.

3.3.5 Reporting

3.3.5.1 Reporting: Filing History

The system allows filers to view and to extract a history of all filings submitted for that filer. The history includes, for each filing:

- Filing type (i.e., form number, version/amendment number)
- Date due
- Date filed/accepted

Note: Law requires that filer have the ability to amend filings for up to two years.

3.3.5.2 Reporting: Individual Filings

The system allows filers to view and to extract an image in PDF format of any filing, whether incomplete, complete, or submitted.

3.4 Electronic Filing System

These rules apply only to EFS.

3.4.1 Data Submission & Validation

3.4.1.1 Submission: Standardized Format

The system permits users to upload and submit all campaign and lobbying registration and disclosure statements in a standardized electronic format.

3.4.1.2 Submission: Rejection with Fatal Errors

The system rejects electronically submitted filings that contain fatal errors.

3.4.1.3 Submission: Filer Notice of Validation Errors

The system notifies filer of any fatal and non-fatal errors in each electronically submitted filing.

3.5 Enforcement

These rules apply only to AMS.

3.5.1 The SOS Review

3.5.1.1 The SOS Review: Campaign & Lobbying Reports

The system allows the SOS users to review campaign reports and lobbying activity reports for incompleteness, and to generate notice to the filer for any deficiencies identified in the filing.

3.5.2 Fines

3.5.2.1 Fines, General

3.5.2.1.1 General: Fine Adjustment

The system allows the SOS users to remove or adjust any fines that have been assessed against filer.

3.5.2.1.2 General: Manual Fine Assessment

The system permits the SOS users to identify a filing and manually assess a fine for that filing in accordance with the appropriate formula for that type of fine.

3.5.2.1.3 General: Notice of Fine Assessment

The system automatically notifies a filer when a fine has actually been assessed against the filer.

3.5.2.2 Campaign Filers- Late Statements of Organization/Registration

3.5.2.2.1 Late SOs: Fine Calculation/Assessment

The system automatically calculates and assesses a fine, based on a configurable formula, against a campaign filer when the filer has not submitted a registration or registration amendment within the required number of days from the date of qualification.

3.5.2.2.2 Late SOs: the SOS Configuration of Fine Parameters

The system provides the SOS administrators the ability to configure the following variables for the calculation and assessment of fines against late statements of organization:

- Filing deadline (days from date of qualification)
- Grace period (days beyond due date within which a fine won't be assessed)
- Daily fine rate for each day the filing is late
- Minimum fine amount
- Maximum fine amount
- Alternate flat rate for fine
- Deadline for fine payment
- Applicable filer categories

3.5.2.3 Campaign Filers- Late Campaign Reports

3.5.2.3.1 Late Campaign Reports: Fine Calculation/Assessment

The system calculates and assesses a fine against a campaign filer, based on a configurable formula, when the filer has not submitted a statement or statement amendment within the required number of days from the filing deadline.

3.5.2.3.2 Late Campaign Reports: the SOS Configuration of Fine Parameters

The system allows the SOS administrators the ability to configure the following variables for the calculation and assessment of fines against late campaign statements:

- Filing deadline (days from date of qualification)
- Grace period (days beyond due date within which a fine won't be assessed)
- Daily fine rate for each day the filing is late
- Minimum fine amount
- Maximum fine amount for 'no activity' reports (absolute dollar amount)
- Maximum fine amount (based on activity reported)
- Deadline for fine payment
- Applicable reports/filings

3.5.3 Waiver Requests

3.5.3.1 Waivers: the SOS Review of Requests

The system allows the SOS staff to review requests for waiver of an assessed penalty or fine from a filer, including the ability to:

- View the details of document on which the fine was assessed, if applicable
- View the filer's history of filings, fines and penalties
- View any communications sent to and received from filer regarding the fine or penalty assessed.

3.5.3.2 Waivers: Denial

The system allows the SOS staff to deny a request for waiver of a penalty or fine.

3.5.3.3 Waivers: Fine Adjustment

The system allows the SOS staff to accept a request for waiver and make an adjustment to the fine or penalty assessed.

3.5.4 FPPC Referral

3.5.4.1 Referral: List of Non-Filers Selected for Referral

The system generates a list of filers eligible and selected for referral to FPPC. List is filtered/sorted by: filer type, filing type, and filing due date.

3.5.4.2 Referral: Override Referral

The list in 3.4.6.2 allows the SOS user to override the referral of a particular filer to FPPC at that time.

3.5.4.3 Referral: Creation of Electronic Referral

The system generates an electronic 'referral' to FPPC for every selected past due filer that is not deferred. The electronic referral includes:

- Filer registration data
- Record of all notices and correspondence related to the missing filing,
- History of delinquent filings, and fines/penalties assessed

3.5.4.4 Referral: Annotation in Filer Record

The system allows noting the FPPC referral in the filer's record, as well as the subsequent disposition of that referral.

3.5.5 Reports

3.5.5.1 Reports: Unpaid fines

The system generates a list of outstanding fines.

3.6 Other Business Rules in AMS

These rules apply only to AMS.

3.6.1 Cashiering and Accounting

3.6.1.1 Cashiering: Enter and Apply Payments

The system allows staff to enter and apply payments received at:

- Date of payment
- How payment made (i.e., in-person, by mail, on-line)
- who made payment
- Method of payment and, if applicable, check number
- Total payment amount
- Purpose(s) of payment
- If applicable, to which filer(s) the payment applies

3.6.1.2 Cashiering: Configuration of Accounting Categories

The system allows the SOS staff to define categories for payment of goods and services. (e.g., copies, data extract, fines, annual fees, etc.)

3.6.1.3 Cashiering: Restrict Modification of Posted Payments

Once a payment has been finalized (posted), the system prevents modification of that receipt from anyone without sufficient permissions.

3.6.1.4 Cashiering: Receipt Printing

The system allows staff to print multiple copies of a receipt for any payment received, which details:

- Date of Payment
- How payment made (i.e., in-person, by mail, on-line)
- Who made payment
- Method of payment and, if applicable, check number
- Total payment amount
- Purpose(s) of payment
- If applicable, to which filer(s) the payment applies
- Current

3.6.1.5 Cashiering: Receipt Crosstab

The system provides a summary report for the user-specified period. The report provides the payments received and groups them by totals and by the applicable amount for each category. The list provides a subtotal by day.

3.6.1.6 Cashiering: Pre-payment Accounts

The system allows the SOS users to establish accounts for individuals who provide pre-payment deposits for future services, and to apply prepayments to those accounts.

3.6.1.7 Cashiering: Charges against Pre-payment Accounts

The system allows the SOS users to charge services provided against prepayment accounts and create receipts for the services provided and the resulting charge against the prepayment account.

3.6.1.8 Cashiering: Pre-payment Account Statements

The system allows the SOS staff to generate and print a statement of all deposits to and charges made against a prepayment account over a user-specified time period.

3.6.2 Recipient Committee Annual Fees & Penalties

3.6.2.1 Annual Fees/Penalties: Fee Assessment for Ongoing Committees

The system automatically assesses an Annual Fee each year on all qualified recipient committees that are active on January 1.

3.6.2.2 Annual Fees/Penalties: Fee Assessment for New Committees

If a newly formed committee is qualified in the initial Statement, or if a non-qualified committee submits an amended Statement with a date of qualification, the system automatically assesses the committee with an Annual Fee:

- If the filing date is between January 1 and September 30 inclusive, the fee shall be applicable for the same year.
- If the filing date is between October 1 and December 31 inclusive, the filing fee shall be applicable for the year of the filing and the following year.

3.6.2.3 Annual Fees/Penalties: Manual Assessment

The system allows authorized the SOS users the ability to manually assess an annual fee for a recipient committee.

3.6.2.4 Annual Fees/Penalties: Notice of Assessment for New Committees

The system automatically generates a notice to a committee when an annual fee has been assessed on a newly qualified committee and the payment was not received at the time of the filing.

3.6.2.5 Annual Fees/Penalties: Remove Assessment

The system allows authorized the SOS users to manually remove an annual fee assessment that has been incorrectly assessed for a committee.

3.6.2.6 Annual Fees/Penalties: AF Penalty Assessment

The system automatically assesses the Penalty when the Annual Fee has not been paid by the conclusion of the grace period.

Note: currently grace period not mentioned in statute, so in this case we would configure grace period to 0 days.

3.6.2.7 Annual Fees/Penalties: Notice of Penalty

The system automatically generates a notice to a committee when the penalty has been assessed against that committee.

3.6.2.8 Annual Fees/Penalties: Remove Penalty Assessment

The system allows authorized the SOS users to manually remove a Penalty assessment that has been incorrectly assessed for a committee.

3.6.2.9 Annual Fees/Penalties: FPPC Referral for AF/Penalty Non-Payment

The system allows authorized the SOS users to create an extract of recipient committees with unpaid Penalties after the grace period for referral to FPPC.

3.6.2.10 Annual Fees/Penalties: Report of AF/Penalty Payments

The system allows the SOS users to view/print a report of annual fee and penalty payments received for a specified period. The report can be filtered by:

- Assessment type (i.e., annual fee or penalty),
- Payment method,
- Level of activity (e.g., state, county, city, etc.)
- Entity type

3.6.2.11 Annual Fees/Penalties: Report of Penalty Assessments

The system allows users to view/print a list of penalty assessments as of a given date.

3.6.3 Lobbyist Directory

3.6.3.1 Directory: Generation

The system creates a directory (in PDF format) of all lobbyists, placement agents, lobbying firms, and lobbyist employers that are actively registered for the current legislative session as of the date the directory is generated.

3.6.3.2 Directory: Lobbyist Listing

For each lobbyist or placement agent, the directory includes:

- Lobbyist or agent name
- Business address
- Business phone number
- Lobbyist email
- Photograph of the lobbyist or agent
- The lobbyist's employer and employer type (e.g., lobbying firm, lobbyist employer)

3.6.3.3 Directory: Lobbying Firm Listing

For each lobbying firm, the directory includes:

- Firm name
- Principal's name
- Business address
- Business phone number
- Email address
- List of all lobbyists employed by the firm
- List of all the firm's client

3.6.3.4 Directory: Lobbyist Employer Listing

For each lobbyist employer, the directory includes:

- Firm name
- Principal contact's name
- Business address
- Business phone number
- Email address
- List of any lobbyists directly employed by the employer
- List of any lobbying firms employed by the employed

3.6.3.5 Directory: Listing of Lobbyist Employers by Category

The directory includes a list of all lobbyist employers by category (agriculture, entertainment, government, and health etc.)

3.6.4 The SOS Data Entry

3.6.4.1 The SOS Data Entry: Filing Entry

The system allows the SOS staff to manually enter the data into the system from any registration, report, or other filing received on paper

Note: Many other states had a "hardship provision" for limited entities to submit filings on paper, which staff would then key into system.

Note: One way to accomplish this would be for staff to sign onto the online filing system as a filer/user

3.6.4.2 The SOS Data Entry: Correspondence Templates

The system allows the SOS staff to define and modify templates for standard correspondence to filers.

3.6.4.3 The SOS Data Entry: Correspondence Generation

The system allows the SOS staff to generate and print correspondence to a filer based upon a standard template, or completely custom.

3.6.5 Other Reports

3.6.5.1 Reports: Filer Mailing Lists

The system provides the user the ability to create an extract of the list of filer entity records for use as a mailing list.

3.7 Viewing Filer Records

These rules apply only to AMS.

3.7.1 View Filer

3.7.1.1 View Filer: Filer Search

The system permits users to search for and locate a filer or entity in the system by:

- Filer or entity name (including partial names and acronyms)
- Filer or entity ID number
- Document ID number
- Address
- Filer phone number
- By treasurer name (for campaign entities)
- By candidate or ballot measure (for applicable campaign committees)

Note: *some list items are not current available but highly desirable for authorized users– (e.g., phone number, address, treasurer)*

3.7.1.2 View Filer: Select Filer to View

The system permits the SOS staff to select a filer/entity from the list of search results to view the record/details of that entity.

3.7.1.3 View Filer: Registration Data

When viewing a filer's or entity's record, the system permits the user to view and print current and historic registration data (e.g., name, address, qualification status, treasurer, principal officers), including filing dates and effective dates for any changes.

3.7.1.4 View Filer: List of Communications
When viewing a filer's or entity's record, the system permits an SOS user to view and print the record of communications with the filer/entity. (e.g., notifications, correspondence sent, scanned correspondence received)

3.7.1.5 View Filer: View Communication
The system permits an SOS user to view and print the content of any communications with the filer/entity.

3.7.1.6 View Filer: List of Filer Reports
When viewing a filer's or entity's record, the system permits an SOS user to view and print the record of reports from that filer.

3.7.1.7 View Filer: View Report
The system permits an SOS user to view and print the content of any campaign or activity report from the filer/entity.

3.7.1.8 View Filer: Fine History
The system permits an SOS user to view and print a list of fees, penalties, and fines that have been assessed against an entity, as well as payments made by the entity.

3.7.1.9 View Filer: View Assessment
The system permits an SOS user to select any fee, penalty or fine assessment and view the details for that assessment, including:

- Assessment date
- Assessment amount
- Basis/type of assessment
- Unpaid balance of the assessment
- Record of any payments that have been applied to the assessment

3.7.1.10 View Filer (Candidate/Officeholder): Controlled Committees
For candidates and officeholders, the system displays any committees controlled by the candidate, and allows the SOS users to select any controlled committee to view the details of that committee.

3.7.1.11 View Filer (Candidate/Officeholder): Candidacy History
For candidates and officeholders, the system displays any historic candidacies or offices held by that person.

3.7.1.12 View Filer (Campaign Committees): Controlling Entities

For campaign committees, the system displays any candidates or committees that control this committee, and allows the SOS users to select the controlling entity to directly view the details of that entity.

3.7.1.13 View Filer (Campaign Committees): Controlled Committees

For campaign committees, the system displays any committees controlled by this committee, and allows the SOS users to select any controlled committed to directly view the details of that committee.

3.7.1.14 View Filer (Lobbyist/PAs): Link to Firms/Employers

For lobbyists and placement agents, the system displays any lobbying firms or lobbyist employers that currently employ or have historically employed the lobbyist, and allows the SOS users to select any one of them to view the details of that employer.

3.7.1.15 View Filer (Firms & Employers): List/Link Lobbyists

For lobbying firms and lobbyist employers, the system displays all lobbyists who work for that firm, and allows the SOS users to select any one of them to view the details of that lobbyist.

3.7.1.16 View Filer (Firms): Subcontract Links

For lobbying firms, the system displays any other lobbying firms that it has subcontracted with or with which it is a subcontractor, and allows the SOS users to select any one of them to view the details of that lobbying firm, including the subcontracted clients.

3.7.1.17 View Filer (Firms): Clients

For lobbying firms, the system displays any persons/entities that are clients of the lobbying firm (including subcontracted clients), and allows the SOS users to select any one of them to view the details of that lobbyist.

3.8 Public Website

These rules apply to the Public Disclosure website.

3.8.1 General

3.8.1.1 General: Filer Selection Complete List

For each type of entity (e.g., lobbyist, recipient committee, SMO, etc.), the system allow users to view a list of all filers of that type and to select a filer from that list to view the record for that filer as detailed in the requirements of this section. The list of filers can be filtered by:

- Filer status
- Filer Activity Level

3.8.1.2 General: Filer Links

Whenever a filer is identified in the registration record of disclosure report of another filer, the system provides a hyperlink for the user to jump to and view the record of the linked filer.

3.8.1.3 General: Data Export

The system permits the user to extract any list or report viewed in any of the following formats, at user option:

- Exported in a suitable format for data import and manipulation, such as MS Excel or tab-delimited text file
- Exported in PDF format, suitable for printing

3.8.2 Candidates & Officeholders

3.8.2.1 Candidates/Officeholders: Candidate Search

The Website permits users to search for and locate candidate records by:

- Candidate name (full or partial)
- Candidate ID number
- Jurisdiction
- Election and contest (office & district)
- Statement of Intention filing

3.8.2.2 Candidates/Officeholders: Officeholder Search

The Website permits users to search for and locate officeholder records by:

- Officeholder name (full or partial)
- Officeholder ID number
- Jurisdiction
- Office, & district
- Year

3.8.2.3 Candidates/Officeholders: Candidate Data

The Website allows users to view the data for a candidate, including

- Candidate name
- Election and office sought
- Partisan Affiliation
- If election has occurred, the disposition of that candidacy
- If applicable, the candidate’s position with respect to voluntary spending limits
- Historic record of registration filings for this candidacy, and the changes made with each filing.

3.8.2.4 Candidates/Officeholders: Officeholder Data

The Website allows users to view the data for an officeholder, including:

- Officeholder name
- If applicable, partisan affiliation
- Office/position held
- Date elected
- Date term expires

3.8.2.5 Candidates/Officeholders: History of Candidacies & Offices Held

The Website lists any former candidacies or an office held by the candidate or officeholder, and allows the user to select any from the list to view the details for that office or candidacy.

3.8.2.6 Candidates/Officeholders: Controlled Committees

The Website lists all committees that are controlled by the candidate or officeholder, and allows the user to select any from the list to view the details for that committee. For each committee listed, The Website display:

- Status of the committee
- Last date the committee reported
- Total contributions received to date by committee as of last report
- Total expenditures made to date by committee as of last report
- Cash balance as of last report

3.8.2.7 Candidates/Officeholders: Independent Expenditures In support/Opposition

The Website allows users to view a list of all independent expenditure made in support or opposition of the candidate or officeholder.

3.8.3 Ballot Measures (including proposed measures in circulation)

3.8.3.1 Ballot Measures: Measure Search

The Website permits users to search for and locate ballot measure records by:

- Ballot measure title (full and/or keyword)
- Attorney General’s assigned number
- Ballot measure number/letter designation
- Proponent
- Election
- Jurisdiction

3.8.3.2 Ballot Measures: Measure Data

The Website allows users to view the data for a ballot measure, including:

- Ballot Measure Title
- Summary of measure
- Measure type (e.g., initiative, referendum, constitutional amendment)
- Jurisdiction
- Status: current, as well as history of changes in status
- Proponents of the ballot measure
- If election has occurred, the disposition of that ballot measure

3.8.3.3 Ballot Measures: Entities That Support or Oppose

The Website lists all primarily-formed committees that support or oppose the ballot measure, and allows the user to select any from the list to view the details for that committee. For each committee listed, the Website displays:

- Status of the entity
- Whether the entity supports or opposes
- The dates where the entity began and ended supporting or opposing the measure
- Last date the entity reported
- Total contributions received to date by the entity as of last report (for the period supporting or opposing)
- Total expenditures made to date by the entity as of last report (for the period supporting or opposing)
- Cash balance as of last report

3.8.3.4 Ballot Measures: Independent Expenditures in Support/Opposition

The Website allows users to view a list of all independent expenditure made in support or opposition of the ballot measure.

3.8.4 Campaign Committees

3.8.4.1 Campaign Committees: Filer Search

The Website permits users to search for and locate campaign entity records by:

- Committee name (full or partial)
- Committee ID number
- Election (where applicable)
- Treasurer

3.8.4.2 Campaign Committees: Registration Data

The Website allows users to view the current and historic registration data for a committee, including:

- Committee name
- Committee ID
- Status
- Qualification date
- Termination date, if applicable
- Type/nature/purpose
- City, State, and Zip code of address
- Committee phone number
- Committee treasurer and assistant treasurer(s): name and phone number
- List of principal officers: Name, title, and phone number
- Committee jurisdiction
- If applicable, Partisan Affiliation
- Historic record of registration filings for this committee, and the changes made with each filing

3.8.4.3 Campaign Committees: Controlling Candidates & Committees

If the committee is controlled, the Website lists the candidates or proponents that control the viewed committee, and allows the user to select any from the list to view the details for that controlling candidate or proponent.

3.8.4.4 Viewing Campaign Reports (Committees)

3.8.4.4.1 Campaign Reports: Summary Data

The Website displays a summary of the campaign report that includes the following data:

- Report type
- Period reported
- Date due
- Date received
- If applicable, any fines assessed, waivers, and payments applied
- Beginning balance
- Total of contributions reported, broken down by type (report total and year-to-date)
- Total of expenditures reported, broken down by type (report total and year to date)
- Ending balance
- Outstanding debts

3.8.4.4.2 Campaign Reports: Contribution Data

The Website permits users to view all data for each contribution reported, including loans.

3.8.4.4.3 Campaign Reports: Expenditure Data

The Website permits users to view all data for each expenditure reported, including loans and contributions to other campaign entities.

3.8.4.4.4 Campaign Reports: Outstanding Debts

The Website permits users to view all data for outstanding debts reported.

3.8.4.4.5 Campaign Reports: Sorting Contributions

The Website permits the user to sort reported campaign contributions by:

- Type
- Date
- Amount
- Donor
- Donor’s employer
- Donor city, state, and/or zip code

3.8.4.5 Viewing Campaign Transactions (Committees)

3.8.4.5.1 Campaign Transactions: View & Export Contributions

The Website permits the user to view and export all contributions (i.e., cash contributions, non-cash contributions, and loans) to a committee for a user specified period.

3.8.4.5.2 Campaign Transactions: Filter Listed Contributions

The Website permits the user to filter listed contributions by any or all of the following:

- Type
- Amount
- Donor
- Donor's employer
- Donor city, state, and/or zip code

3.8.4.5.3 Campaign Transactions: View & Export Expenditures

The Website permits the user to view and export all expenditures of a committee for a user specified period.

3.8.4.5.4 Campaign Transactions: Filter Listed Expenditures

The Website permits the user to filter listed expenditures by any or all of the following:

- Type
- Amount
- Payee
- Purpose
- Payee city, state, and/or zip code

3.8.5 Slate Mailer Organizations (SMOs)

3.8.5.1 SMOs: Filer Search

The Website permits users to search for and locate SMOs records by:

- Organization name (full or partial)
- Organization ID number

3.8.5.2 SMOs: Registration Data

The Website allows users to view the current and historic registration data for a SMO, including:

- Organization name
- Organization ID
- Status
- Scope (Level of activity)
- Organization phone number
- Organization treasure: name and phone number
- Principal Officers: Names and phone numbers
- Individuals who authorize contents of slate mailers: name and phone number
- Jurisdiction
- Historic record of registration filings for this committee, and the changes made with each filing

3.8.5.3 SMOs: List of Reports

The Website displays a summary list of campaign reports received for the SMO, and allows the user to select any report listed to review the details of that report. The summary list includes:

- Type of report
- Period reported
- Date due
- Date received
- Total reported payments received
- Total reported payments made
- Any fines assessed

3.8.5.4 Viewing Campaign Reports (SMO's)

3.8.5.4.1 SMO Reports: Summary Data

The Website displays a summary of the campaign report that includes the following data:

- Report type
- Period reported
- Date due
- Date received
- If applicable, any fines assessed, waivers, and payments applied
- Total of payments received
- Total of non-itemized payments received
- Total of payments made
- Total of non-itemized payments made
- Total of payments made by an independent contractor
- Total of payments of $1000 or more to individuals listed on the Statement of Organization

3.8.5.4.2 SMO Reports: Payments Received Data

The Website permits users to view all data for each payment received of $100 or more.

3.8.5.4.3 SMO Reports: Payments Made Data

The Website permits users to view all data for each payment of $100 or more made, including whether or not payment is made by an independent contractor.

3.8.5.4.4 SMO Reports: Payments Made to Principals

The Website permits users to view all data on payments made of $1000 or more to persons listed on the Statement of Organization.

3.8.5.4.5 SMO Reports: Candidates & Measures on the Mailer

The Website permits users to view a list of all candidates or ballot measures that appeared on a slate mailer from the organization during the reporting period, including the following information for each:

- Name of the candidate or the measure
- For candidates, the jurisdiction and office sought
- For measures, the jurisdiction and measure designator
- Whether in support or opposition
- Total of payments received for that candidate or measure
- SMO Reports: Links to Other Entities

Whenever payments are received from or made to another campaign entity (including major donors), the Website provides a shortcut to allow the user to view the record for that campaign entity.

3.8.6 Major Donors (MDs) & Independent Expenditure Committees (IECs)

3.8.6.1 MDs & IECs: Filer Search

The Website permits users to search for and locate committee records by:

- Entity name (full or partial)
- Committee ID number
- Election (i.e., Major Donors & IECs that have filed a report for a specific election cycle)

3.8.6.2 MDs & IECs: Filter Search Results

The Website allows users to filter searches for committees by:

- Entity Type
- Jurisdiction (e.g., State, Alameda County, City of Sacramento)
- Election (where applicable)

3.8.6.3 MDs & IECs: Registration Data

The Website allows users to view the current and historic registration data for a committee, including:

- Entity name
- Entity ID
- Nature of the entity (e.g., individual, business, association, etc.)
- If an individual, the name, address, and business interests of the individual’s employer
- If not an individual, the business activity or interests of the entity
- Responsible officer: name and phone number

- Historic record of registration filings for this committee, and the changes made with each filing

3.8.6.4 MDs & IECs: Summary Financial Data

For each major donor or IEC, the Website displays summary financial data, including:

- The date and type of the last campaign report
- The total of itemized expenditures (including contributions made) year-to-date as of that report
- The total of non-itemized expenditures (including contributions made) year-to-date as of that report

3.8.6.5 MDs & IECs: List of Reports

The Website displays a summary list of campaign reports received for the major donor or IEC, and allows the user to select any report listed to review the details of that report. The summary list includes:

- Type of report
- Date due
- Date received
- Total expenditures (including contributions made) reported
- Any fines assessed

3.8.6.6 Viewing Campaign Reports (MDs & IECs)

3.8.6.6.1 MD & IEC Reports: Summary Data

The Website displays a summary of the campaign report that includes the following data:

- Report type
- Period reported
- Date due
- Date received
- If applicable, any fines assessed, waivers, and payments applied
- Total of itemized expenditures (including contributions made) reported, broken down by type report total and year-to-date)
- Total of non-itemized expenditures reported, broken down by type (report total and year to date)

3.8.6.6.2 MD & IEC Reports: Expenditures

The Website permits users to view all data for each expenditure reported, including loans and contributions to other campaign entities.

3.8.7 Lobbyists

3.8.7.1 Lobbyists: Filer Search

The Website permits users to search for and locate lobbyist records by:

- Lobbyist name (full or partial)
- Lobbyist ID number
- Legislative session

3.8.7.2 Lobbyists: Registration Data

The Website allows users to view the current and historic registration data for a lobbyist, including:

- Lobbyist name
- Lobbyist ID
- Status
- Registration date
- Date of termination or withdrawal or revocation, if applicable
- Business address
- Mailing address
- Phone number(s)
- Email address
- Ethics course completion date
- Photograph of the lobbyist
- Historic record of amendments to the current registration for this lobbyist, and the changes made with each amendment

3.8.7.3 Lobbyists: List of Employers

The Website lists employers of the lobbyist (i.e., lobbying firms and lobbyist employers), and allows the user to select any from the list to view the details for that firm/employer. For each employer listed the system displays:

- Entity name
- Entity type
- Effective date of the relationship
- If applicable, date relationship terminated

3.8.7.4 Lobbyists: List of Reports

The Website displays a summary list of activity reports received from the lobbyist, and allows the user to select any report listed to review the details of that report. The summary list includes for each report:

- Filing Period
- Date due
- Date received
- Total activity expenses reported
- Total campaign contributions reported
- Any fines assessed

3.8.7.5 Lobbyists: Prior Registrations

The Website lists previous registrations for a lobbyist (by session), and allows the user to select any from the list to view the details for that session's registration, including the firms/employers, and reports applicable for that session

3.8.7.6 Viewing Activity Reports

3.8.7.6.1 Lobbyist Reports: Summary Data

The Website displays a summary of the lobbyist report that includes the following data:

- Period reported
- Date due
- Date received
- If applicable, any fines assessed, waivers, and payments applied
- Total of activity expenses for the reporting period
- Total of campaign contributions made or delivered for the reporting period

3.8.7.6.2 Lobbyist Reports: Activity Expenses

The Website permits users to view all data for each activity expense reported.

3.8.7.6.3 Lobbyist Reports: Campaign Contributions

The Website permits users to view all data for each campaign contribution reported.

3.8.8 Placement Agents (PA)

3.8.8.1 Placement Agents: Filer Search

The Website permits users to search for and locate PA records by:

- PA name (full or partial)
- PA ID number
- Legislative session

3.8.8.2 Placement Agents: Registration Data

The Website allows users to view the current and historic registration data for a PA, including:

- PA name
- PA ID
- Status
- Registration date
- Date of termination or withdrawal or revocation, if applicable
- Business address
- Mailing address
- Phone number(s)
- Email address
- Ethics course completion date
- Photograph of the PA
- Historic record of amendments to the current registration for this PA, and the changes made with each amendment

3.8.8.3 Placement Agents: List of Employers

The Website lists employers of the PA (i.e., lobbying firms and lobbyist employers), and allows the user to select any from the list to view the details for that firm/employer. For each employer listed the system displays:

- Entity name
- Entity type
- Effective date of the relationship
- If applicable, date relationship terminated

3.8.8.4 Placement Agents: List of Reports

The Website displays a summary list of activity reports received from the PA, and allows the user to select any report listed to review the details of that report. The summary list includes for each report:

- Filing period
- Date due
- Date received
- Total activity expenses reported
- Total campaign contributions reported
- Any fines assessed

3.8.8.5 Placement Agents: Prior Registrations

The Website lists previous registrations for a PA (by session), and allows the user to select any from the list to view the details for that session's registration, including the firms/employers, and reports applicable for that session

3.8.8.6 Viewing Activity Reports

3.8.8.6.1 Placement Agent Reports: Summary Data

The Website displays a summary of the PA report that includes the following data:

- Period reported
- Date due
- Date received
- If applicable, any fines assessed, waivers, and payments applied
- Total of activity expenses for the reporting period
- Total of campaign contributions made or delivered for the reporting period

3.8.8.6.2 Placement Agent Reports: Activity Expenses

The Website permits users to view all data for each activity expense reported.

3.8.8.6.3 Placement Agent Reports: Campaign Contributions

The Website permits users to view all data for each campaign contribution reported.

3.8.9 Lobbying Firms

3.8.9.1 Lobbying Firms: Filer Search

The Website permits users to search for and locate lobbying firm records by:

- Firm name (full or partial)
- Firm acronym
- Lobbying Firm ID number
- Legislative Session

3.8.9.2 Lobbying Firms: Registration Data

The Website allows users to view the current and historic registration data for a lobbying firm, including:

- Firm name
- Firm ID
- Status
- Registration date
- Date of termination or withdrawal, if applicable
- Responsible officer: name and title
- Business address
- Mailing address
- Phone number
- Email address
- Historic record of amendments to the current registration for this lobbying firm, and the changes made with each amendment.

3.8.9.3 Lobbying Firms: List of Lobbyists Employed

The Website lists lobbyists employed by the firm, and allows the user to select any from the list to view the details for that lobbyist.

3.8.9.4 Lobbying Firms: List of Clients

The Website lists all clients with which your firm has contracted to provide lobbying services and allows the user to select any from the list to view the details for that client. For each, the Website provides the following information:

- Client identification
- Effective dates of contract
- Description of client’s lobbying interests
- Agencies authorized to be lobbied on behalf of that client

3.8.9.5 Lobbying Firms: Subcontracted Clients (Firm)

The Website lists all clients for which the firm has been authorized to provide lobbying services on a subcontracted basis. For each, the Website provides the following information:

- Identification of subcontracting firm
- Effective dates of contract
- Period of contract
- Identification of client for which lobbying services are being provided: name, address, phone
- umber
- Description of client's lobbying interests
- Agencies to be lobbied
- Effective add & termination date of individual subcontracted clients

3.8.9.6 Lobbying Firms: List Subcontract Lobbying Firms

The Website list any lobbying firms with which the firm has subcontracted to provide lobbying services for its clients. For each, the Website provides the following information:

- Identification of (link to) the sub-contracted lobbying firm
- Name of subcontracted client(s)

3.8.9.7 Lobbying Firms: List of Reports

The Website displays a summary list of activity reports received from the lobbying firm, and allows the user to select any report listed to review the details of that report. The summary list includes for each report:

- Filing Period
- Date due
- Date received
- Total payments received
- Total activity expenses reported
- Total campaign contributions reported
- Any fines assessed

3.8.9.8 Lobbying Firms: Prior Registrations

The Website lists previous registrations for this lobbying firm (by session), and allows the user to select any from the list to view the details for that session's registration, including lobbyist employed, clients, subcontracted clients and reports for that session.

3.8.9.9 Viewing Activity Reports

3.8.9.9.1 Firm Reports: Summary Data

The Website displays a summary of the firm report that includes the following data:

- Period reported
- Date due
- Date received
- If applicable, any fines assessed, waivers, and payments applied
- Total of payments received (report period and session-to-date)
- Total of activity expenses (report period and session-to-date)
- Total of payments to other lobbying firms (report period and session-to-date)
- Total of campaign contributions made

3.8.9.9.2 Firm Reports: Payments

The Website permits users to view all data for the reported payments received.

3.8.9.9.3 Firm Reports: Activity Expenses

The Website permits users to view all data for each activity expense reported, as well as the total of activity expenses reported by lobbyists working for the firm.

3.8.9.9.4 Firm Reports: Payments to Subcontracted Firms

The Website permits users to view all data for the reported payments made to subcontracted lobbying firms.

3.8.9.9.5 Firm Reports: Campaign Contributions

The Website permits users to view all data for campaign contributions reported.

3.8.9.9.6 Firm Reports: Payments to Coalitions

The Website permits users to view all data for payments made to lobbying coalitions.

3.8.10 Lobbyist Employers (LEs) (Including Clients & Lobbying Coalitions)

3.8.10.1 Employers: Filer Search

The Website permits users to search for and locate lobbyist employer records by:

- Entity name (full or partial)
- Acronyms
- Entity ID number
- Industry/trade group
- Legislative Session

3.8.10.2 Employers & Coalitions: Filter Search Results

The Website allows users to filter searches for committees by:

- Industry/trade group
- City, state, country and/or zip code
- Legislative session
- Reporting period

3.8.10.3 Employers: Registration Data

The Website allows users to view the current and historic registration data for lobbyist employers and lobbying coalitions, including:

- Entity name
- Entity ID
- Nature (e.g. individual, business, trade association, other)
- Status
- Registration date
- Qualification date
- Termination date, if applicable
- Business address
- Mailing address
- Phone number
- Email address
- Responsible officer: name and title
- Industry Group Classification
- Lobbying interests
- Historic record of amendments to the current registration for this lobbying firm, and the changes made with each amendment.

3.8.10.4 Employers: List Lobbyists & Firms Retained

The Website lists lobbyists and lobbying firms retained by the employer, and allows the user to select any from the list to view the details for that lobbyist or firm.

3.8.10.5 Employers: List of Reports

The Website displays a summary list of activity reports received from the employer, and allows the user to select any report listed to review the details of that report. The summary list includes the following for each report:

- Filing Period
- Date received
- Total of payments to in-house lobbyists and lobbying firms
- Total of activity expenses incurred by entity
- Total of other payments to influence government
- Total of campaign contributions made
- Any fines assessed on the filing

3.8.10.6 Employers: Prior Registrations

The Website lists previous registrations for an employer (by session), and allows the user to select any from the list to view the details for that session's registration, including retained lobbyists/firms and activity reports associated with that registration.

3.8.10.7 Viewing Disclosure Reports

3.8.10.7.1 Employer Reports: Summary Data

The Website displays a summary of the disclosure report that includes the following data:

- Period reported
- Date due
- Date received
- If applicable, any fines assessed, waivers, and payments applied
- Total of payments to in-house lobbyists (report period and session-to-date)
- Total of payments to lobbying firms (report period and session-to-date)
- Total of activity expenses directly incurred by entity (report period and session-to-date)
- Total of other payments to influence government (report period and session-to-date)
- Total of payments in connection with PUC activities
- Total of campaign contributions made (report period and session-to-date)
- Total of payments made to coalitions ((report period and session-to-date)
- Total of payments received by coalitions ((report period and session-to-date)
- Attestation: date, name and title

3.8.10.7.2 Employer Reports: Payments to Firms

The Website permits users to view all data for reported payments to lobbying firms.

3.8.10.7.3 Employer Reports: Link to Firm Records

The Website permits users to select any listed lobbying firm to view the firm's record.

3.8.10.7.4 Employer Reports: List Activity Expenses

The Website permits users to view all data for each activity expense reported, as well as the total of activities expense reported by lobbyists working for the firm.

3.8.10.7.5 Employer Reports: Payments to Coalitions

The Website permit users to view all data for payments made to lobbying coalitions.

3.8.10.7.6 Employer Reports: Payments from Coalitions

The Website permits users to view all data for payments received by lobbying coalitions.

3.8.10.7.7 Government Agency Employers: Itemized Payments for Lobbying Activity

The Website permits users to view all data for itemized payments for lobbying activity made by government agency employers (Form 640)

3.8.10.7.8 Government Agency Employers: Totals Reported

For lobbyist employers that are government agencies, the Website permits users to view:

- Total of payments for overhead expenses
- Total of payments to lobbying coalitions
- Total of non-itemized payments for lobbying activity
- Total of itemized payments for lobbying activity
- Grand total of all payments (Form 640)

3.8.10.7.9 Employer Reports: Campaign Contributions

The Website permits users to view all data for campaign contributions reported.

3.8.11 Persons Attempting to Directly Influence Government (in lieu of retaining lobbyist or lobbying firm)

3.8.11.1 Individuals: Filer Search

The Website permits users to search for and locate records for entities that have reported direct expenditures to influence government by:

- Entity name
- Entity ID number
- Acronym
- Legislative session

3.8.11.2 Individuals: Registration Data

The Website allows users to view the current and historic 'registration' data for entities that have reported direct payments to influence government, including:

- Entity name
- Entity ID
- Business address
- Mailing address
- Phone number
- Historic changes to the 'registration data' for this entity, and the changes made with each amendment.

3.8.11.3 Individuals: List of Reports

The Website displays a summary list of activity reports received from the entity, and allows the user to select any report listed to review the details of that report. The summary list includes for each report:

- Filing Period
- Date received
- Total of activity expenses incurred by entity
- Total of other payments to influence government
- Total of campaign contributions made
- Any fines assessed on the filing

3.8.11.4 Viewing Activity Reports

3.8.11.4.1 Individual's Reports: Summary Data

The Website displays a summary of the campaign report that includes the following data:

- Period reported
- Date due

- Date received
- If applicable, any fines assessed, waivers, and payments applied
- Legislative and agency actions lobbied
- Total of activity expenses directly incurred by entity (report period and session-to-date)
- Total of other payments to influence government (report period and session-to-date)
- Total of payments in connection with PUC activities
- Total of campaign contributions made (report period and session-to-date)
- Attestation: date, name and title

3.8.11.4.2 Individual's Reports: Activity Payments

The Website permits users to view all data for each activity payment reported.

3.8.11.4.3 Individual's Reports: Payments to Coalitions

The Website permits users to view all data for payments made to lobbying coalitions.

3.8.11.4.4 Government Agency Influencing: Itemized Payments for Lobbying Activity

The Website permits users to view all data for itemized payments for lobbying activity made by government agency directly influencing government.

3.8.11.4.5 Government Agency Influencing: Totals Reported

For government agencies directly influencing government, the Website permits users to view:

- Total of payments for overhead expenses
- Total of payments to lobbying coalitions
- Total of non-itemized payments for lobbying activity
- Total of itemized payments for lobbying activity
- Grand total of all payments

3.8.11.4.6 Individual's Reports: Campaign Contributions

The Website permits users to view all data for campaign contributions reported.

3.8.12 Special Lobbying Research

3.8.12.1 Other Lobbying Reports

3.8.12.1.1 Other Lobbying Reports: Top 'X' Lobbying Firms By Payments Received

The system permits users to generate a list of lobbying firms sorted by the total payments received by each firm over the user-specified period.

3.9 External Interfaces (To FPPC, FTB etc.)

These rules apply to CARES.

3.9.1 Viewing Filer Records

3.9.1.1 Viewing Filers: Search Methods

The system permits authorized users to search for and locate a filer or entity in the system by:

- Filer or entity name
- Filer or entity ID number
- Filer address
- Filer phone number
- By treasurer name (for campaign entities)
- By candidate or ballot measure (for applicable campaign committees)

3.9.1.2 Viewing Filers: Registration Data

When viewing a filer's or entity's record, the system permits the user to view and print current and historic registration data (e.g., name, address, qualification status, treasurer, principal officers), including filing dates and effective dates for any changes.

3.9.1.3 Viewing Filers: Record of Reports Filed

When viewing a filer's or entity's record, the system permits an authorized user to view and print the record of reports from that filer.

3.9.1.4 Viewing Filers: View Individual Report

The system permits an authorized user to view and print the content of any campaign or activity report from the filer/entity.

3.9.1.5 Viewing Candidates/Officeholders: View Controlled Committees

For candidates and officeholders, the system displays any committees controlled by the candidate, and allows authorized user to select any controlled committee to view the details of that committee.

3.9.1.6 Viewing Candidates/Officeholders: History of Candidacies and Offices Held

For candidates and officeholders, the system displays any historic candidacies or offices held by that person.

3.9.1.7 Viewing Lobbyists/PAs: Employers

For lobbyists and placement agents, the system displays any lobbying firms or lobbyist employers that currently employ or have historically employed the lobbyist, and allows authorized users to select any one of them to view the details of that employer.

3.9.1.8 Viewing Employers & Firms: Lobbyists Employed

For lobbying firms and lobbyist employers, the system displays all lobbyists who work for that firm, and allow an authorized user to select any one of them to view the details of that lobbyist.

3.10 System Configuration & Administration

These rules apply to the Admin utility.

3.10.1 General

3.10.1.1 General: Create User Accounts for Staff & Agencies

The system allows PRD administrators to create new user accounts for staff at the SOS and other state agencies, and to assign roles/permissions to those accounts.

3.10.1.2 General: Notification for Rejected Filings

The system allows PRD Administrators to configure authorized PRD staff such that the system emails notification to those staff members whenever a filing is rejected.

4. Appendix A: Glossary of Business Terminology

Term / Acronym	Description
Bottom-up modeling	Bottom-up modeling builds a database design based on either metadata extracted from an existing database or a file with DDL code that implements an existing database. The resulting database is represented as a relational model and a physical model, and you reverse engineer the logical model from the relational model.
California Form 400	Registration and amendments Statement of Organization (Slate Mailer Organization)
Slate Mailer	A mass mailing which supports or opposes a total of four or more candidates or ballot measures.
Slate Mailer Organization	Any individual or entity which, directly or indirectly is involved in the production of one or more slate mailers and exercises control over the selection of the candidates included in the slate mailers and receives or is promised payments totaling five hundred dollars ($500) or more in a calendar year for the production of one or more slate mailers.
FY	Fiscal Year
IPOC	Independent Project Oversight
ISMS	Information Security Management Services
ITD	Information Technology Department
IV&V	Independent Verification and Validation
PM	Project Manager
PMO	Project Management Office
PRD	Political Reform Department
PY	Personnel Year
RFI	Request for Information
RFP	Request for Proposal
the SOS	Secretary of State
SPR	Special Project Report

5. Appendix B: List of PRD/FPPC Forms

Please refer to the FPPC web site (www.fppc.ca.gov) for current forms and instructions.

Candidates and Committees

Campaign Disclosure Forms

Form 400 (1992) - Slate Mailer Organization Statement of Organization

Form 401 (1992) - Slate Mailer Organization Campaign Statement

Form 402 (1992) - Slate Mailer Organization Statement of Termination

Form 405 (1994) - Amendment to Campaign Disclosure Statement

Form 410 (1101) - Statement of Organization

Form 425 (1101) - Semi-Annual Statement of No Activity for Non-Controlled Recipient Committees

Form 450 (6/01) - Recipient Committee Campaign Statement-Short Form

Form 460 (2001) - Consolidated Campaign Disclosure Form

Form 461 (8/99) - Independent Expenditure Committee and Major Donor Committee Campaign Statement

Form 465 (1101) - Supplemental Independent Expenditure Report

Form 470 (6/01 - Officeholder/Candidate Campaign Statement-Short Form and Form 470 Supplement

Form 495 (1101) - Supplemental Pre-Election Campaign Statement

Form 496 (6/01) - Late Independent Expenditure Report

Form 497 (6/01) - Late Contribution Report

Form 498 (8/99) - Late Payment Report (Slate Mailer Organizations)

Form 501 (6/01) - Candidate Intention Statement

Form 511 (1102) - Paid Spokesperson Report

Form 900 (1101) - Public Employee's Retirement Board -Candidate Campaign Statement

Lobbyists and Lobbyist Employers

Form 601 (7198) - Lobbying Firm Registration Statement

Form 602 (7198) - Lobbying Firm Activity Authorization

Form 603 (7198) - Lobbyist Employer/Lobbying Coalition Registration Statement

Form 604 (7198) - Lobbyist Certification Statement

Form 605 (7198) - Amendment to Registration

Form 606 (1997/98) - Notice of Termination

Form 607 (1997/98) - Notice of Withdrawal

Form 615 (1990) - Lobbyist Report

Form 625 (1990) - Report of Lobbying Firm

Form 630 (1990) - Payments Made to Lobbying Coalitions

Form 635 (1993) - Report of Lobbyist Employer/Lobbying Coalition

Form 635-C (1990) - Payments Received by Lobbying Coalitions

Form 640 (1993) - Governmental Agencies Reporting

Form 645 (1993) - Report of $5,000 Filer

Form 690 (1990) - Amendment to Lobbying Disclosure Report

This is the end of the document.