

## **Overview**

### **Introduction**

The California Secretary of State's Political Reform Division (PRD) provides paper and electronic filing capability for individuals, firms and businesses involved in campaign financing or lobbying services.

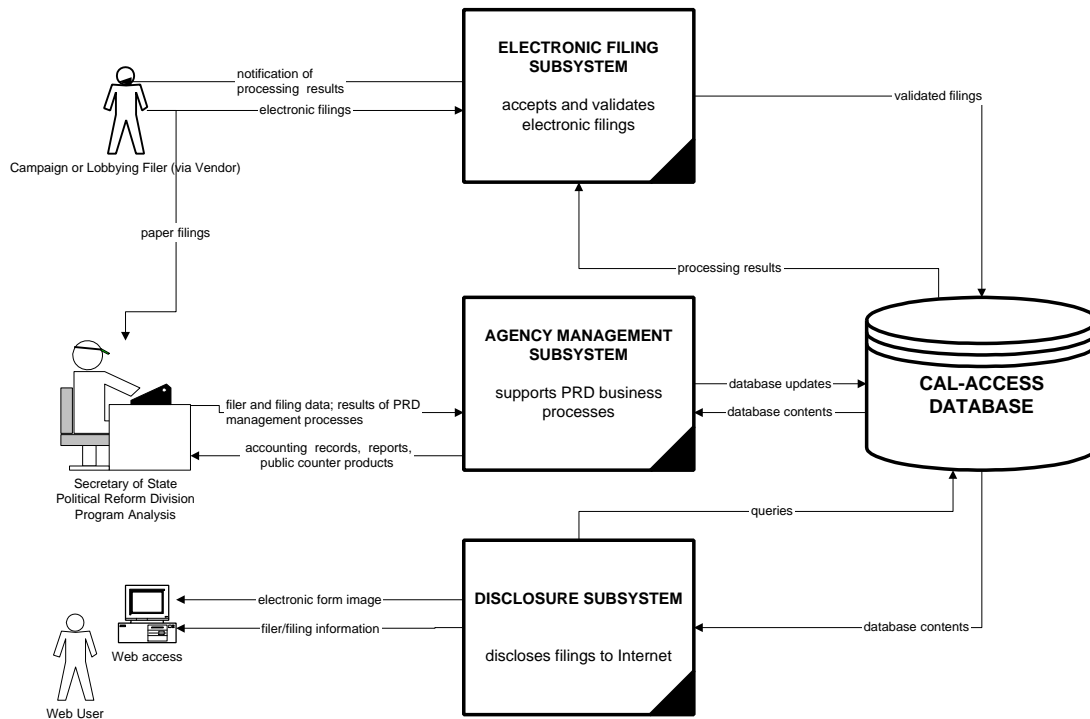
Filers can only submit some forms electronically. Vendors who are certified by PRD provide electronic filing services. PRD provides the filing data through the Secretary of State website. The data is available to the public, filtered only for privacy and legal requirements (e.g., no addresses, no bank account numbers).

In addition to creating a user-friendly website that offers data in several ways, the Secretary of State offers the raw data in ASCII tab-delimited text files that allow experienced users to import into custom databases and analysis tools.

### **Process**

The submittal, management and disclosure of filing data are provided by a PRD system known as Cal-Access. Cal-Access consists of three subsystems illustrated below --- Electronic Filing Subsystem (EFS), Agency Management Subsystem (AMS) and the Disclosure Subsystem. Electronically submitted data is captured electronically intact, as submitted, with no changes made to the submitted filing. Filings submitted on paper are logged but the detail is not entered into the system.

## CAL-ACCESS OVERVIEW



Data is validated and entered intact into the system. Where errors and omissions are recognized, a request for correction or additional information is sent to the filer. The filer may then submit an amendment to the original filing. Understanding this basic flow leads to the recognition that the data in the system is not pristine and data may not be available to conduct the requested analysis.

## Understanding the Data

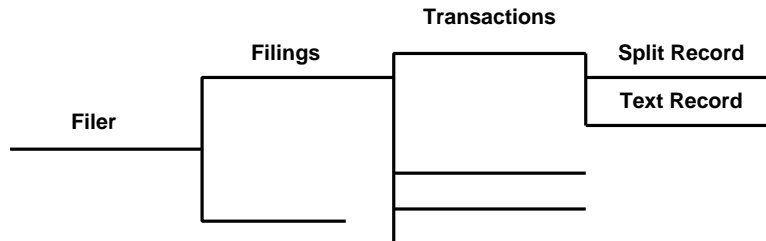
The Fair Political Practices Committee (FPPC) identifies the data and the forms to be provided by the filer to meet the requirements of the Political Reform Act. The FPPC is the enforcement agency. PRD defines and provides the system to collect and report on the data provided. As the requirements change, so does the system.

Data is captured from the vendor/filer through EFS as submitted with no changes. The vehicle to define data requirements between the vendor and PRD is the Cal Format document. It ties the data to the forms and to the database tables used to store the data. The Cal Format provides the data type and content allowed in the database fields.

The Cal-Access system is modified to handle changes in the Cal Format; the Cal Format version number is stored in the database to facilitate processing changes. For historical and analysis purposes, the relationship between the forms, Cal Format version, the table field and content must be taken into account. The AMS and Disclosure Subsystem recognize and implement function based on this relationship.

PRD staff uses the Agency Management Subsystem (AMS) to administer the collection of data to meet requirements and to produce summary reports. AMS uses the submitted data, and couples it with other factors needed by PRD to meet their responsibilities. The Cal Access system includes functions such as, but not limited to, the assignment of **filer ids**, passwords, **filing ids** and **amendment numbers** to tie together a completed filing.

The Cal Format document identifies the forms and schedules that comprise a complete filing. A filing is tied to a filer id. An amendment is tied to a filing id and is a replacement of the original filing. In some cases, a line item field is included in a table. The line item couples the data value with a specific line number on the form. Some forms require additional data for a specific transaction record. These are contained in split and text records. In these cases, the split and text records are children of the transaction record.



## What is Provided, Where to Start

Familiarity with the forms and Cal Format is key to understanding the database. For the forms, refer to the FPPC web page [www.fppc.ca.gov](http://www.fppc.ca.gov). The Cal Format documents are provided as part of this distribution. New versions of the Cal Format document may be found on the Secretary of State web site [www.sos.ca.gov](http://www.sos.ca.gov). The attachment provides a summary of forms and schedules included in a filing.

The data is a direct extract of filer submitted filings by table. The overall view of these tables may be viewed by displaying the ReadmeMap.pdf file. The individual tables and fields may be displayed by viewing CalAccessTablesWeb.pdf. This file shows all tables in Cal-Access.

The data is being provided in a comma-separated text file. The CSV data includes the field information as the first line.

All data is compressed into one zip archive. The grouping of files in the archive is described in the Readme\_zip.pdf file. Individual tables may be identified and then downloaded and extracted from the single zip file.

The files listed in the "Common Campaign and Lobbying" section are needed for use with all tables.

Refer to the Frequently Asked Questions before starting. It may save you time. Suggestions are welcome.

## Appendix A – Forms

### Campaign Disclosure Reports

<b>401</b>	Slate Mailer Organization Campaign Statement
<b>425</b>	Semi-Annual Statement of No Activity
<b>450</b>	Recipient Committee Campaign Disclosure Statement - Short Form
<b>460</b>	Recipient Committee Campaign Statement
<b>461</b>	Independent Expenditure Committee and Major Donor Committee Campaign Statement
<b>465</b>	Supplemental Independent Expenditure Report
<b>470</b>	Officeholder and Candidate Campaign Statement - Short Form
<b>495</b>	Supplemental Pre-Election Campaign Statement
<b>496</b>	Late Independent Expenditure Report
<b>497</b>	Late Contribution Report
<b>498</b>	Slate Mailer Late Payment Report

<i>Form</i>	<i>RecType</i>	<i>FormName</i>	<i>Description</i>
F401 Slate Mailer Organization Campaign Statement			
	HDR	CAL	“CAL” Header record
	CVR	F401	Cover Page; Slate Mailer Organization
	CVR3	F401	Cover Page; Part IV; Verification Information
	SMRY	F401	Summary Page & Misc. Schedule Line-item [sub]totals
	RCPT	F401A	Payments Received
	S401	F401B	Payments Made
	S401	F401B-1	Payments Made by Agent/Contractor on Behalf of SMO
	S401	F401C	“F400” Persons in SMO Receiving \$1000 or more
	S401	F401D	Candidates/Measurers not on Schedule F401A
F405 Amendment to Campaign Disclosure Statement			
F425 Semi-Annual Statement of No Activity			
	HDR	CAL	“CAL” Header record
	CVR	F425	Cover Page; Semi Annual Statement of No Activity
	CVR2	F425	Cover Page; Part 1; Assistant Treasurer
	CVR3	F425	Cover Page; Part 3; Verification Information
F450 Recipient Committee Campaign Disclosure Statement – Short Form			
	HDR	CAL	“CAL” Header record
	CVR	F450	Cover Page; Recipient Committee
	CVR2	F450	Cover Page; Part 3; Assistant Treasurer
	CVR3	F450	Cover Page; Verification Information
	F495	F450	Supplemental Pre-Election Statement (a.k.a. Form 495)
	SMRY	F450	Summary Page & Misc. Schedule Line-item [sub]totals
	EXPN	F450P5	Expenditures & Contributions Made
	SPLT	Child	Split Transaction Record – Used as a child record for schedules: A, B1, B2, C, D, H and/or F450P5 when disclosing Per Election to Date information.
F460 Recipient Committee Campaign Statement			
	HDR	CAL	“CAL” Header record
	CVR	F460	Cover Page; Recipient Committee Campaign Statement
	CVR2	F460	Cover Page; Additional Committees, Asst. Treasurer, etc.
	CVR3	F460	Cover Page; Part 4; Verification Information
	F495	F460	Supplemental Pre-Election Statement (a.k.a. Form 495)
	SMRY	F460	Summary Page & Misc. Schedule Line-item [sub]totals
	RCPT	A	Schedule A Monetary Contributions Received
	LOAN	B1	Schedule B Part 1 – Loans Received
	LOAN	B2	Schedule B Part 2 – Loan Guarantors

<i>Form</i>	<i>RecType</i>	<i>FormName</i>	<i>Description</i>
	RCPT	C	Schedule C – Nonmonetary Contributions Received
	EXPN	D	Schedule D – Summary of Expenditures – Support/ Oppose...
	EXPN	E	Schedule E – Payments Made
	DEBT	F	Schedule F – Accrued Expenses (Unpaid Bills)
	EXPN	G	Schedule G – Payments Made “on behalf” of this Committee
	LOAN	H	Schedule H – Loans Made to Others
	RCPT	I	Schedule I – Miscellaneous Increases to Cash
	SPLT	Child	Split Transaction Record – Used as a child record for schedules: A, B1, B2, C, D, H and/or F450P5 when disclosing Per Election to Date information.
F461			Independent Expenditure Committee & Major Donor Committee Campaign Statement
	HDR	CAL	“CAL” Header record
	CVR	F461	Cover Page; Ind Expenditure & Major Donor Committee
	CVR3	F461	Cover Page; Part 4; Verification Information
	F405	F461	Amendment Information sheet (a.k.a. Form 405)
	SMRY	F461	Summary Page & Misc. Schedule Line-item [sub]totals
	EXPN	F461P5	Expenditures & Contributions Made
F465			Supplemental Independent Expenditure Report
	HDR	CAL	“CAL” Header record
	CVR	F465	Cover Page; Supplemental Independent Expenditure Rpt
	CVR2	F465	Cover Page; Part V Filing Officer Titles & Addresses
	CVR3	F465	Cover Page; Part VII; Verification Information
	SMRY	F465	Summary Page & Misc. Schedule Line-item [sub]totals
	EXPN	F465P3	Independent Expenditures Made
F470			Officeholder and Campaign Statement – Short Form
	HDR	CAL	“CAL” Header record
	CVR	F470	Cover Page; Officeholder/Cand Short Form & Supplement
	CVR2	F470	Cover Page; Part IV; Committee Names & Addresses
	CVR3	F470	Cover Page; Part V; Verification Information
F470S			Officeholder and Candidate Campaign Statement (Supplement)
F495			Supplemental Pre-Election Campaign Statement
F496			Late Independent Expenditure Report
	HDR	CAL	“CAL” Header record
	CVR	F496	Cover Page; Late Independent Expenditure Report
	S496	F496	Independent Expenditures Made
	RCPT	F496P3	Contributions of \$100 or More Received
F497			Late Contribution Report
	HDR	CAL	“CAL” Header record
	CVR	F497	Cover Page; Late Contribution Report
	S497	F497P1	Late Contributions Received
	S497	F497P2	Late Contributions Made
F498			Slate Mailer Late Payment Report
	HDR	CAL	“CAL” Header record
	CVR	F498	Cover Page; Slate Mailer Late Payments Report
	S498	F498-R	Late Payments Received From:
	S498	F498-A	Late Payments Attributed To:

## Campaign Statements

- 400 Statement of Organization (Slate Mailer Organization)
- 402 Statement of Termination (Slate Mailer Organization)
- 410 Statement of Organization Recipient Committee

<i>Form</i>	<i>RecType</i>	<i>FormName</i>	<i>Description</i>
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<i>Form</i>	<i>RecType</i>	<i>FormName</i>	<i>Description</i>
F400			Statement of Organization (Slate Mailer Organization)
	HDR	CAL	"CAL" Header record
	CVR	F400	Cover Page; Stmt of Organization / Slate Mailer Org
	CVR2	F400	Cover Page; Additional Names & Addresses
	CVR3	F400	Cover Page; Part V; Verification Information
F402			Statement of Termination (Slate Mailer Organization)
	HDR	CAL	"CAL" Header record
	CVR	F402	Cover Page; Stmt of Termination / Slate Mailer Org
	CVR3	F402	Cover Page; Verification Information
F410			Statement of Organization Recipient Committee
	HDR	CAL	"CAL" Header record
	CVR	F410	Cover Page; Stmt of Organization / Recipient Committee
	CVR2	F410	Cover Page; Additional Names & Addresses
	CVR3	F410	Cover Page; Part 3; Verification Information

## Lobbyist Disclosure Reports

<b>615</b>	Lobbyist Report
<b>625</b>	Report of Lobbying Firm
<b>630*</b>	Payments Made to Lobbying Coalitions (Attachment to Form 625 or 635)
<b>635</b>	Report of Lobbyist Employer or Report of Lobbying Coalition
<b>635-C*</b>	Payments Received by Lobbying Coalitions
<b>640*</b>	Governmental Agencies Reporting (Attachment to Form 635 or Form 645)
<b>645</b>	Report of Person Spending \$5,000 or More
<b>690*</b>	Amendment to Lobbying Disclosure Report

**Note:** The 630, 635-C, 640, and 690 forms are not filed as standalone forms, but instead are included within the 615, 625, 635, and 645 filings.

<i>Form</i>	<i>RecType</i>	<i>FormName</i>	<i>Description</i>
F615			Lobbyist Report
	HDR	CAL	"CAL" Header record
	CVR	F615	Cover Page; Lobbyist Report
	F690	F615	Amendment Information sheet (a.k.a. Form 690)
	LEXP	F615P1	Part I - Activity Expenses
	LCCM	F615P2	Part II - Campaign Contributions Made [or Delivered]
F625			Report of Lobbying Firm
	HDR	CAL	"CAL" Header record
	CVR	F625	Cover Page; Recipient Committee
	CVR2	F625	Cover Page; Part II; Partners, Owners, Officers, ...
	F690	F625	Amendment Information sheet (a.k.a. Form 690)
	SMRY	F625...	Summary Page & Misc. Schedule Line-item [sub]totals
	LPAY	F625P2	Payments Received in Connection with Lobbying Activity
	LEXP	F625P3A	Part III/Sec A - Activity Expenses
	LOTH	F625P3B	Part III/Sec B - Payments to OTHER Lobbying Firms
	LCCM	F625P4B	Part IV/Sec B - Campaign Contributions Made
	LATT	S630	Attachment Form 630 - Payments Made to Lobbying Coalitions
F630			Payments Made to Lobbying Coalitions (Attachments to Form 625 or 635)
F635			Report of Lobbyist Employer or Report of Lobbying Coalition
	HDR	CAL	"CAL" Header record
	CVR	F635	Cover Page; Candidate Committee
	CVR2	F635	Cover Page; Part II; Partners, Owners, Officers, ...
	F690	F635	Amendment Information sheet (a.k.a. Form 690)
	SMRY	F635...	Summary Page & Misc. Schedule Line-item [sub]totals

	LPAY	F635P3B	Part III/Sec B - Payments to Lobbying Firms
	LEXP	F635P3C	Part III/Sec C - Activity Expenses
	LCCM	F635P4B	Part IV/SecB - Campaign Contributions Made
	LATT	S630	Attach Form 630 - Payments Made to Lobbying Coalitions
	LATT	S635-C	Attach Form 635 - Payments Rcvd by Lobbying Coalitions
	LATT	S640	Attach Form 640 - Other Payments to Influence ...
F635C			Payments Received by Lobbying Coalitions
F640			Governmental Agencies Reporting (Attachment to Form 635 or Form 645)
F645			Report of Person Spending \$5,000 or More
	HDR	CAL	"CAL" Header record
	CVR	F645	Cover Page; Recipient Committee
	F690	F645	Amendment Information sheet (a.k.a. Form 690)
	SMRY	F645...	Summary Page & Misc. Schedule Line-item [sub]totals
	LEXP	F645P2A	Part II/Sec A - Activity Expenses
	LCCM	F645P3B	Part III/SecB - Campaign Contributions Made
	LATT	S630	Attach Form 630 - Payments Made to Lobbying Coalitions
	LATT	S640	Attach Form 640 - Other Payments to Influence ...
F690			Amendment to Lobbying Disclosure Report

## Lobbyist Statements

F601	Lobbying Firm Registration Statement
F602	Lobbying Firm Activity Authorization
F603	Lobbyist Employer or Lobbying Coalition Registration Statement
F604	Lobbyist Certification Statement
F605*	Amendment to Registration, Lobbying Firm, Lobbyist Employer, Lobbying Coalition
F606	Notice of Termination
F607	Notice of Withdrawal

\* The 605 is not filed as a stand-alone filing. Instead it is included within the 601 and 603 Registration filings.

<i>Form</i>	<i>RecType</i>	<i>FormName</i>	<i>Description</i>
F601			Lobbying Firm Registration Statement
	HDR	CAL	CAL Header record
	CVR	F601	Cover Page Lobbying Firm Registration Statement
	CVR2	F601	Cover Page; Part I Individual Lobbyists
	F605	F601	Amendment information sheet (a.k.a. Form 605)
	LEMP	F601P2A	Part II/Sec A Lobbyist Employers
	LEMP	F601P2B	Part II/Sec B Subcontracted Clients
F602			Lobbying Firm Activity Authorization
	HDR	CAL	"CAL" Header record
	CVR	F602	Cover Page; Lobbying Firm Activity Authorization
	CVR2	F602	Cover Page; side 1: Names of Subcontracted Clients side 2: Names "50 or less" Assoc members
F603			Lobbyist Employer or Lobbying Coalition Registration Statement
	HDR	CAL	"CAL" Header record
	CVR	F603	Cover Page; Lobbyist Employer/Coalition Regis Stmt
	CVR2	F603	Cover Page; Names of Employees, Firms & Agencies
	F605	F603	Amendment Information sheet (a.k.a. Form 605)
F604			Lobbyist Certification Statement
	HDR	CAL	"CAL" Header record
	CVR	F604	Cover Page; Lobbyist Certification Statement
F605			Amendment to Registration, Lobbying Firm, Lobbyist Employer, Lobbying

			Coalition
F606			Notice of Termination
	HDR	CAL	"CAL" Header record
	CVR	F606	Cover Page; Notice of Termination
F607			Notice of Withdrawal
	HDR	CAL	"CAL" Header record
	CVR	F607	Cover Page; Notice of Withdrawal

### Non-Cal Format Forms

<i>Form</i>	<i>RecType</i>	<i>FormName</i>	<i>Description</i>
F501			Candidate Intention Statement
F511			
E530			
F900			PERS - Candidate Campaign Statement