



DR. SHIRLEY N. WEBER
CALIFORNIA SECRETARY OF STATE



CAL-ACCESS REPLACEMENT SYSTEM (CARS) REQUEST FOR INFORMATION

VENDOR DAY
JANUARY 4, 2023



AGENDA



- Welcome and Introductions
- CAL-ACCESS Overview
- Replacement System Vision
- CARS RFI Overview
- Questions and Answers
- Wrap Up



WELCOME AND INTRODUCTIONS



- Welcome
- SOS CARS Project Team Introductions
 - Executive Sponsors
 - Project Sponsor
 - Chief Information Officer
 - Project Director
 - Political Reform Division Subject Matter Experts
 - Information Technology Division Subject Matter Experts

STATUS OF THE CARS PROJECT



- Currently in the planning phase
- Performing market research activities
 - Internal and external CAL-ACCESS stakeholders (e.g., data filers, data users).
 - Other states who have automated campaign filing and disclosure systems.
 - System demos from vendors who have developed applications similar to CAL-ACCESS
 - Request for Information document released on Dec. 16, 2022
- Information obtained will enable a robust analysis of all alternatives identified to determine the best solicitation approach.

POLITICAL REFORM DIVISION



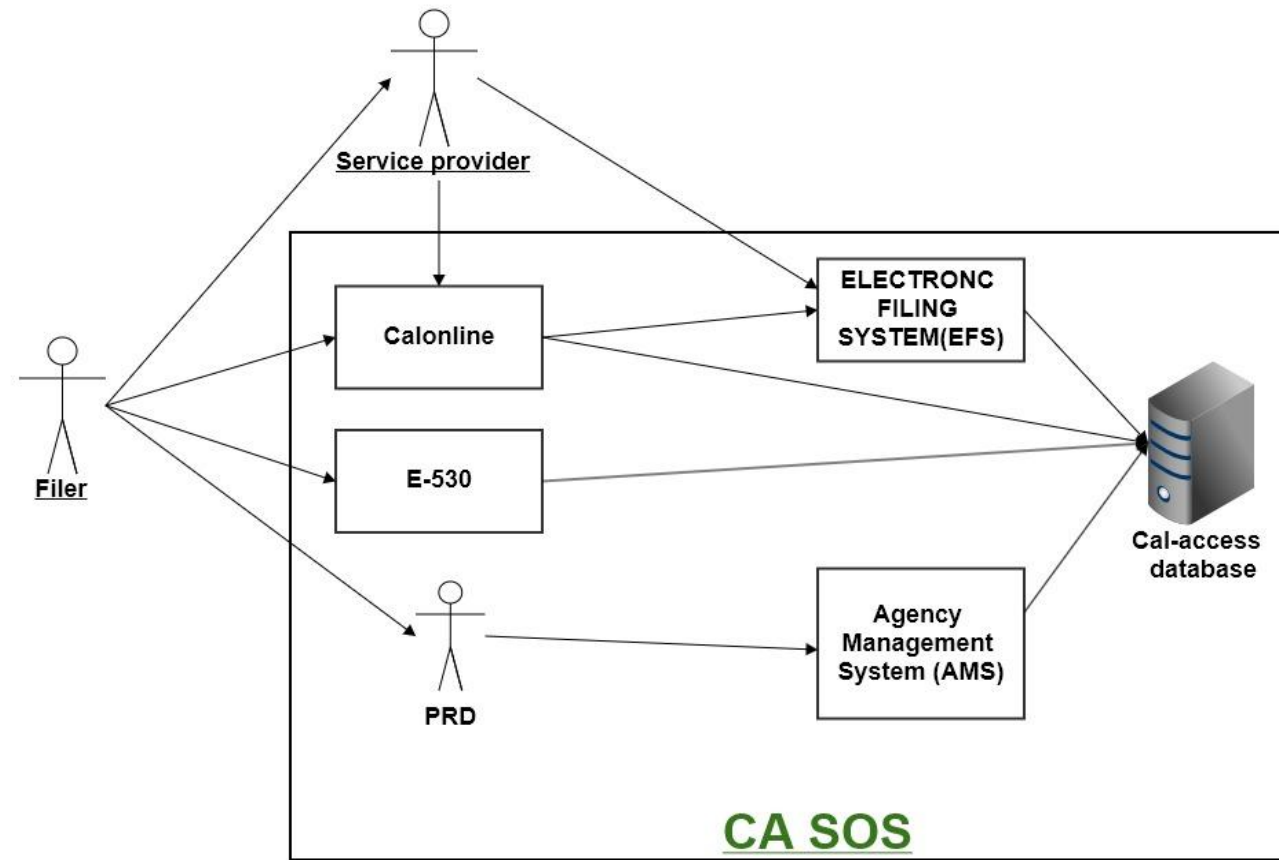
The Secretary of State's Political Reform Division is the filing officer for California's Campaign Finance and Lobbying Activities

- The rules are set in the PRA or by FPPC regulations
- SOS cannot change the rules

CAL-ACCESS INTERFACES – FILINGS DIAGRAM



Filings



CAL-ACCESS INTERFACES – ADMIN PORTAL



PRD: Administrative (AMS)

- Manual registration data entry
- Generate ID#s and Passwords
- Log receipt paper forms
- Generate correspondence
- Assess Fees – Fines – Penalties
- Create receipts for payment
- Reconcile daily deposits
- Basic reports

CAL-ACCESS AMS (PB 12.5) Connected To: prdprd

File Edit Tools Audit Tools Window Help

NEWSOM FOR CALIFORNIA GOVERNOR 2022

File Filings Links Financial Correspondence Acronyms Images Show List

Name
1 of 1 Last: NEWSOM FOR CALIFORNIA GOVERNOR 2022
First: Title: Suffix:

Address
1 of 3 Add 1: 915 L ST STE C-418 2: Type: PERMANENT
City: SACRAMENTO State: CA Zip: 95814- DEL
Phone: (916)285-5733 Fax: (916)333-1344 Email: newsom2022@deaneandcompany.com

Attribute
1 of 1 RECIPIENT COMMITTEE Set Qualified Date
Type: N/A Sponsored: No 11/08/2018
Control Type: CONTROLLED Jurisdiction: STATE County: 34 DEL
Sub-Type: N/A Party: DEMOCRATIC
This attribute is Active effective as of 11/08/2018 for the 2017 - 2018 session.

Active
1414018

Edit ID
Print
New Filer

Save & Refresh

Vendor
Password
Delete Filer

Modify Office
Tabs On Bottom

Current Links

Effect Dt	Term Dt	Status	Link Description	Name
11/08/2018	00/00/0000	ACTIVE	TREASURER/RESPONSIBLE OFFICER	GAVIN NEWSOM
11/08/2018	00/00/0000	ACTIVE	CONTROLLING CANDIDATE	GAVIN NEWSOM

CAL-ACCESS INTERFACES – FILER PORTAL

<https://cafile.sos.ca.gov/CalOnline>

<https://cafile.sos.ca.gov/e530/login.asp>



Financial Disclosure

- Cal Online
- E-530
- 3rd Party Software Vendor / Service Provider

CALIFORNIA SECRETARY OF STATE

California Online Campaign & Lobbying Filing System

What is Cal-Online?
Cal-Online is a web-based, data entry filing system that allows state candidates, campaign committees, and lobbying entities to submit registration disclosure reports mandated by California's Political Reform Act to the Secretary of State free of charge. The information is then reproduced on the Secretary of State's Cal-Access web site for public viewing. [More...](#)

How to get started?
To use Cal-Online, the filer must have an authorized Cal-Access campaign or lobbying identification number and password. If you are a new filer, Account Set Up to obtain an identification number and password. [More...](#)

PDF Preview Problems?
Having problems previewing your filings with Adobe Acrobat Reader? Here are a few tips to correct common issues. [More...](#)

Logon Instructions:

1. Type your "Filer ID".
2. Tab to Password field.
3. Type your "Password".
4. Use the mouse to click on "Login" button.

Account Set Up
Get your Cal-Online ID. **SIGN UP**

Campaign Finance
File ID:
Password:
LOGIN

Lobbying Activity
File ID:
Password:
LOGIN

To successfully navigate all parts of this application, utilize the following free commercial software packages:
[Internet Explorer 6.0+](#) [Netscape Navigator 7.0+](#) [Adobe Acrobat Reader 5.0.5+](#)

CALIFORNIA SECRETARY OF STATE DOES NOT ENDORSE ANY OF THE SOFTWARE PRODUCTS LISTED ABOVE AS SUPERIOR OVER ANY OTHER BRAND WITH SIMILAR FUNCTIONALITY.

Warning: Please do not use the back button on your browser.

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CalOnline and E530 Filing Systems

[CalOnline - California Online Campaign & Lobbying Filing System](#)

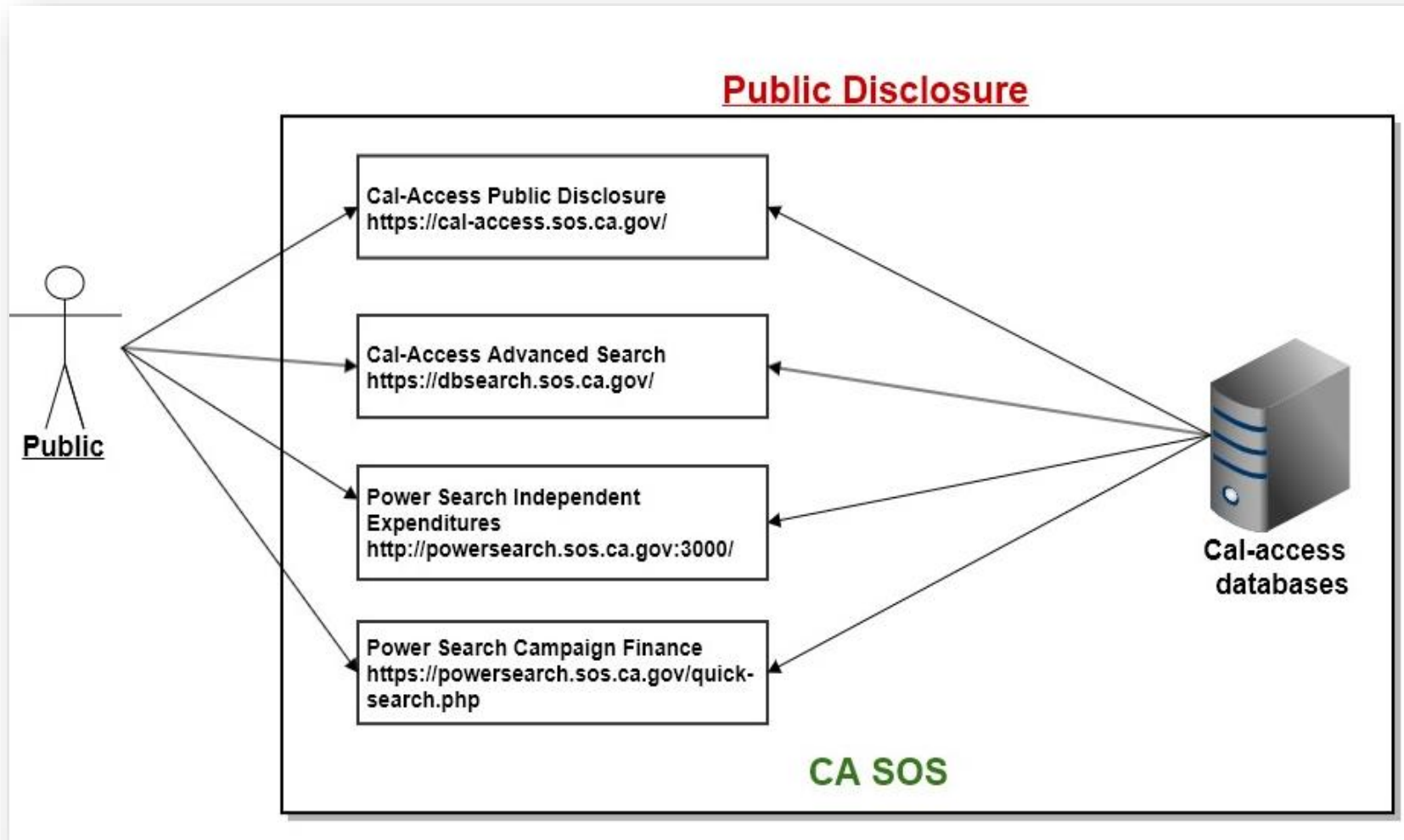
[E530 - Issue Advocacy Online Filing System](#)

To successfully navigate all parts of these applications, utilize the following free commercial software packages:
[Internet Explorer 6.0+](#) [Netscape Navigator 7.0+](#) [Adobe Acrobat Reader 5.0.5+](#)

California Secretary of State does not endorse any of the software products listed as superior over any other brand with similar functionality.

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CAL-ACCESS INTERFACES – PUBLIC PORTAL



CAL-ACCESS INTERFACES – PUBLIC PORTAL

<https://cal-access.sos.ca.gov>



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SECRETARY OF STATE ELECTIONS CAMPAIGN & LOBBYING BUSINESS PROGRAMS STATE ARCHIVES REGISTRIES

Cal-Access Search GO
Advanced Search

Cal-Access Home

Campaign Finance

Lobbying Activity

Resources

For Filers Only

Political Reform

User's Manual

Welcome to Cal-Access

What is Cal-Access?

Cal-Access provides financial information supplied by state candidates, donors, lobbyists, and others. Simply start by selecting either [Campaign Finance Activity](#), [Lobbying Activity](#), or [Cal-Access Resources](#) and we will guide you to the information.

What is Power Search?

[Power Search](#) provides quick access to useful summary information at the contributor, candidate, ballot measure and campaign committee levels with options for sorting and further manipulating the data. [FAQs](#) provide helpful information for conducting searches.

Alerts

- Cal-Access Project Update [GO](#)
- 2023-2024 Registered Lobbyist Employers/Lobbying Coalitions Registration Renewal Letter [GO](#)
- 2023-2024 Registered Lobbying Firms Registration Renewal Letter [GO](#)
- Ballot Measure Contribution Totals [GO](#)
- Top 10 Contributor Lists [GO](#)
- Lobbyist and Placement Agent Ethics Training [GO](#)
- 2021 - 2022 Lobbying Directory [GO](#)
- Lobbyist Filing Requirements for Placement Agents [GO](#)
- Placement Agent FAQ's and Quarterly Reporting Examples [GO](#)
- Tips for Using Cal-Online for Lobbying Registration Renewals [GO](#)
- Guidance to Filers re Original Signatures [GO](#)
- Avoid Delays in Receiving Your ID Number [GO](#)
- To File Electronically [GO](#)
- Electronic Filing Password Request [GO](#)
- Website Maintenance Schedule [GO](#)

Campaign Finance

Who is contributing money, who is receiving money and how is it being spent? [GO](#)

Lobbying Activity

Who are California's lobbyists, who is hiring them and how are they paid? [GO](#)

Resources

Learn [how to use this site](#), [find important upcoming dates](#), [review press releases](#), [research facts](#), or [use the glossary](#). [GO](#)

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Power Search

[Power Search](#) provides quick access to useful summary information at the contributor, candidate, ballot measure and campaign committee levels with options for sorting and further manipulating the data. [FAQs](#) provide helpful information for conducting searches.

- [Candidates & Elected Officials](#)
- [Initiatives and Referenda in Circulation](#)
- [Behested Payments \(contributions for legislative, governmental or charitable purposes requested by state officials\)](#)
- [Committees, Parties, Major Donors & Slate Mailers](#)
- [Propositions & Ballot Measures](#)
- [Daily/Late/Special Filings](#)
- [Top 10 Contributor Lists](#)
- [Raw Data for Campaign Finance and Lobbying Activity](#)
- [Federal Electronic Filings](#)
- [State Contribution and Voluntary Expenditure Limits](#)
- [City and County Electronic Filings](#)

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Cal-Access Search GO
Advanced Search

Cal-Access Home

Lobbying Activity

Alerts

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- Website Maintenance Schedule [GO](#)

Individual Lobbyists

Lobbying Firms

Lobbyist Employers

\$5,000 - Plus Payments to Influence

Daily Filings / Directory Changes

Raw Data for Campaign Finance and Lobbying Activity

Lobbying Directory 2021-2022 (PDF version)

CAL-ACCESS INTERFACES – POWER SEARCH

<https://powersearch.sos.ca.gov/quick-search.php>



Contributions From:

All contributors [?]

Just these contributors [?]

Contributor Location [?]

All states ▼

Contributions To:

Everything (Candidates, Ballot Measures & Other Committees)

Candidates [?]

All candidates

Search candidates [?]

All Offices ▼ [?]

Ballot Measures [?]

Search ballot measures

All ballot measures ▼

Both support & oppose ▼

Exclude contributions between allied committees

Committees [?]

Just these committees

Dates: [?]

All dates and election cycles

Date range

mm/dd/yyyy to mm/dd/yyyy

Election cycles

2021-2022

2019-2020

2017-2018

2015-2016

2013-2014

2011-2012

2009-2010

2007-2008

2005-2006

2003-2004

2001-2002

Clear Form Search

Advanced Search Results

Results Summary

\$85,823,798.58 in 73,573 contributions [?]

Important - Adjustments may apply for ballot measures. [Find out more.](#)

NEWSOM, GAVIN has received

(1308175) **Newsom for California - Governor 2010** has raised \$3,553,696.16 in 3,752 contributions

(1325415) **Newsom for California - Lieutenant Governor 2010** has raised \$4,411,619.73 in 2,334 contributions

(1333752) **Newsom for California Lieutenant Governor 2014** has raised \$4,301,088.31 in 1,929 contributions

(1375287) **Newsom for California Governor 2018** has raised \$47,632,827.42 in 37,380 contributions

(1414018) **Newsom for California Governor 2022** has raised \$26,924,556.09 in 28,198 contributions

Contributions

Show 10 rows Sort by Date Descending Update

[Download CSV](#) [?]

Showing 1 to 10 of 73,573 rows [Show more fields](#) [?]

Recipient Name	Recipient Committee	Recipient Committee ID	Office Sought	Ballot Measure(s)	Contributor Name	Contributor ID	Amount	Date	Contributor Employer	Contributor Occupation	Contributor State
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		Reyes, J. Christopher		\$32,000.00	Nov 8, 2022	Reyes Holdings, LLC	Executive	FL
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		Reyes, M. Jude		\$32,000.00	Nov 8, 2022	Reyes Holdings, LLC	Executive	FL
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		United Airlines		\$9,000.00	Nov 8, 2022			IL
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		California Pawnbrokers Association PAC	743255	\$5,000.00	Nov 8, 2022			CA
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		Rango, Tony		\$4,000.00	Nov 8, 2022	Suffolk Construction	President	CA
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		Fisher, Elizabeth S.		\$32,400.00	Nov 8, 2022	Elizabeth S. Fisher	Investor	CA
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		Fisher, John		\$32,400.00	Nov 8, 2022	John Fisher	Investor	CA
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		Fisher, Robert J.		\$24,000.00	Nov 8, 2022	Pisces, Inc.	Managing Director	CA
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		Fisher, Sakurako		\$32,400.00	Nov 8, 2022	Sakurako Fisher	Investor	CA
NEWSOM, GAVIN	Newsom for California Governor 2022	1414018	Governor		Fisher, William S.		\$24,000.00	Nov 8, 2022	Manzanita Capitol	Investor	CA

1 2 3 4 5 6 7 8 9 10 Next

This page will not display more than 1,000 entries.

(To view the entire set of search results, [download the CSV](#) [?] file.)

Contributions data is current as of December 28, 2022.

NEEDS & BENEFITS OF A NEW SYSTEM



The goal of the replacement system is to move away from the “form” based reporting and build a data driven system.

The new CAL-ACCESS system should provide users with a more efficient, sustainable system that is flexible, user-friendly and allows heightened transparency into campaign and lobbying activity.

PAIN POINTS



Online Filers:

- Cal-Online is buggy and does not always reconcile with what the filer submitted
- Cal-Online does not work with all browsers or MAC OS
- Filing errors are not identified until after submission
- Registration cannot be filed online
- Online payments are limited; filers cannot see their financial liabilities or balances

Public Access:

- Navigation of the public site is not intuitive or user friendly.
- Multiple criteria and curated search results are not available for all search type
- Unable to search which bills lobbyists are supporting or opposing
- The application is not mobile-friendly

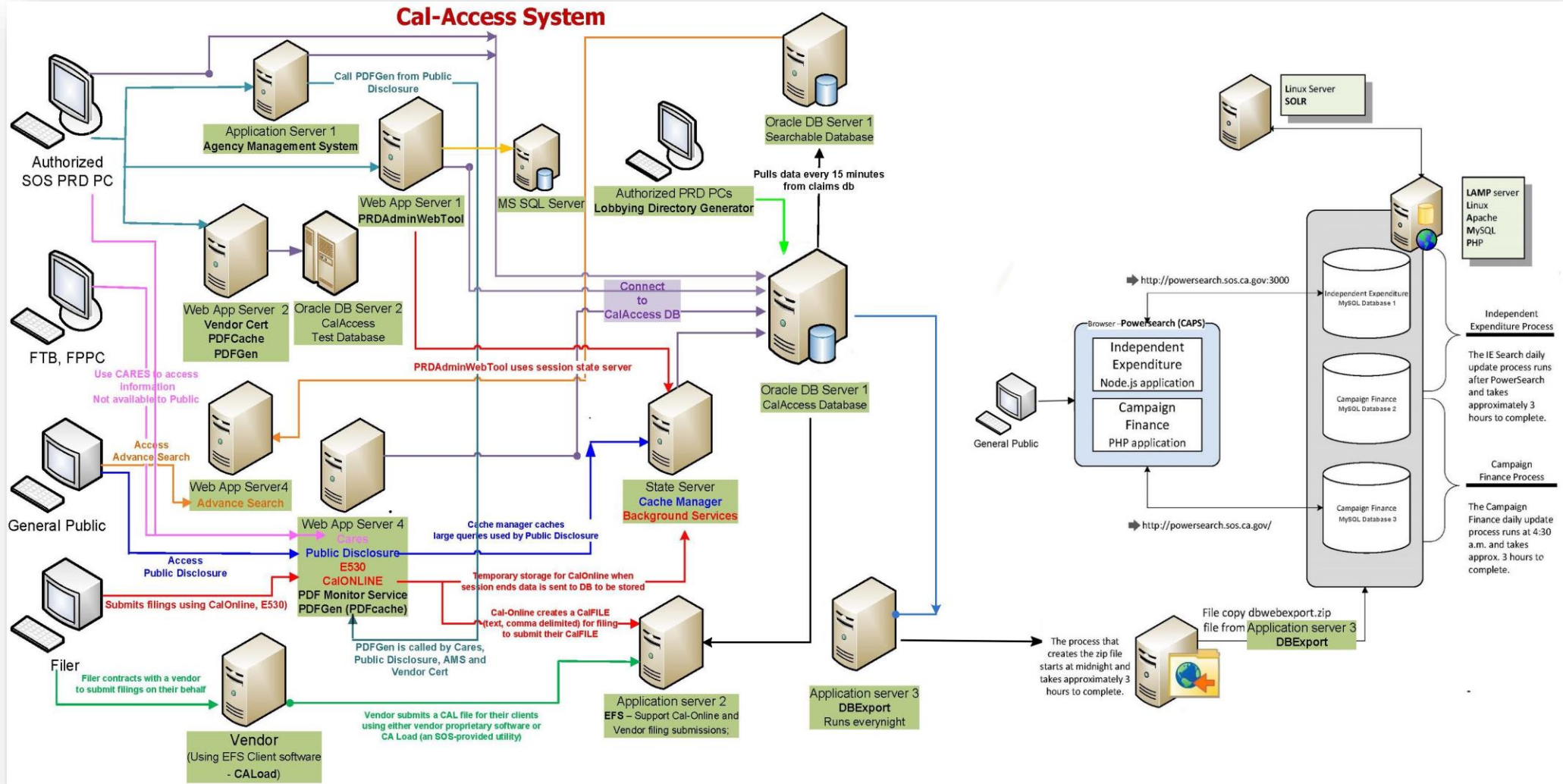
PAIN POINTS



Administration:

- PRD staff perform a lot of manual 'workarounds'
- Manual processes are prone to human error
- The system is not intuitive and has limited automation
- Multitasking within the admin portal is impossible for most tasks
- System reports are not easily accessible or in a readable format
- Correspondence template components often require reformatting
- Sending mass emails requires exporting of data and utilization of 3rd party software

TECHNICAL OVERVIEW



PAIN POINTS



Technical:

- The integrated PDF Generator source code is not editable
- Disaster recovery capabilities are significantly limited
- Upgrades and patches are time consuming and can cause the application to break
- There are very few business continuity solutions for when the network is down
- Lacks adaptability, flexibility and modifiability to legislative changes

DATABASE OVERVIEW



- The core data resides in one main Oracle database (version 11.2)
- The current database size is 1.26 TB, out of which 1.16 TB is used by BLOB data residing in one table. The remaining 164 tables use about 100 GB of space
- The current Oracle database schema contains a total of 165 tables, out of which 102 tables are identified for migration to the new system
- Out of the 102 tables, about 85 tables have been identified for data profiling, cleansing, and standardization using Experian Aperture Data Studio
- A staging database containing the output of Aperture Data Studio will be provided in Microsoft Azure cloud in an Azure SQL database

DATABASE SIZE



- For capacity planning, estimated database growth is around 20% a year
- Approximately 80,000 – 130,000 filings are added each year
- The approximate row counts of the top 5 tables are as follows: 15 million, 12 million, 9 million, 8 million, and 5 million. The rest of the tables contain less than 5 million rows
- A redacted copy of the CAL-ACCESS raw data is available at:

<https://www.sos.ca.gov/campaign-lobbying/cal-access-resources/raw-data-campaign-finance-and-lobbying-activity>

PURPOSE OF THE RFI



- To inquire into the marketplace to determine which vendors may be available to solve the SOS' IT business problem.
- To collect information about the capabilities of the various vendors to provide a solution for the SOS, including rough order of magnitude (ROM) cost and schedule estimates.
- To assist the CARS Project with its ongoing planning effort, including its alternatives analysis activities and its solicitation document development.

RFI OVERVIEW

RFI VENDOR INFORMATION REQUESTED (RFI PAGE 15)



Attachment 1 - Vendor Information Requested

1. Describe your organization primary business functions, e.g., Systems Integrator/COTS-MOTS Software vendor/Software Development/other, organizational size and capabilities within the US and Canada
2. Provide a description of the products and services your organization offers that would meet the needs as described in this RFI
3. List up to three statewide or agency implementations of systems similar to that described in this RFI, that have been completed within the last seven (7) years or are in progress by your company. What was the associated timeframe for Design, Development, and Implementation (DD&I), start to full implementation?
4. Describe any software ownership limitations once the product/solution is installed and operational
5. Describe how you would handle data conversion from our current systems to your product/solution. If available, provide number of tables/size/ etc.
6. How might a project implementing your product/solution be broken into phases and what would be the expected duration and deliverables of each phase, including data migration?
7. Potential costs range associated with your product/solution, as well as the assumptions used to determine costs. Indicate what your organization believes to be reasonable potential costs range associated with a new client of our size. These estimates are for informational purposes only. Include one year of maintenance and operations M&O past system go-live

RFI OVERVIEW

RFI VENDOR INFORMATION REQUESTED (RFI PAGE 15) – CONT'D



8. What methodology and tools would you recommend to DD&I and M&O a solution as described in this RFI? Would the vendor provide the tools and license to the state at M&O?
9. Describe your recommended approach to working with Existing Third-Party software providers that the CARS solutions will continue interface with. What methods and approaches would you take for developing data interface standards (inbound and outbound transactions)?
10. If applicable, please describe the approach taken when transitioning from a forms-based system to a transactional-based system. What technical best practices were used to make that transition?
11. When developing a system that is intuitive and easy to use for users, what human-centered design techniques and tools would you deploy?
12. Describe your recommended approach to automated scenarios-based testing to support full regression testing of a filer portal, API, and Public Disclosure Website.
13. Describe your recommended approach to allow external stakeholders ability to leverage an automated testing environment.

RFI OVERVIEW

MID-LEVEL REQUIREMENTS – MLR-001 – MLR 074 (RFI PAGES 20-37)



Attachment 3 – Mid-level Requirements

Following are the currently envisioned mid-level requirements for the CARS System.

Mid-Level ID	Functional/Non-Functional Area	Mid-Level Requirement	Additional Notes
MLR-001	User Account Maintenance	The solution shall allow an anonymous user to create a new account and a registered user to manage their account.	Solution needs to allow search for a user entity, user account update, log-in, support username recovery, user name change (account creation validation/re-validation needed if email is used as username), reset, or change password, user account lock/unlock and registered user account deletion.
MLR-002	Filer Registration	The solution shall allow a logged-in user to define and register new campaign or a lobbying filer entity by creating an entity registration record and	Candidate, Campaign, or lobbying entity is required to meet FPPC-mandated reporting requirement. Entity record is a must for any activity report submission. Logged-in user should be able to update filing entity's registration information, reinstate a terminated registration, and withdraw or terminate a registration.

RFI OVERVIEW

RESPONSE FORMAT (RFI PAGE 14)



5. Response Format

To facilitate a timely and comprehensive analysis of all responses submitted, responses should be submitted using the format requested in this RFI. Supplemental materials may be provided, but for the purposes of this RFI, supplemental information should be directed specifically at addressing the issues contained in this RFI.

Responses should provide the following information, in the following sequence:

1. Vendor Information
 - a. Name
 - b. Address
 - c. City, State, and Zip
 - d. Company Type (Public or Private?)
 - e. Company Size
2. Responses to Attachment 1 – Vendor Information Requested

RFI OVERVIEW

RFI TIMELINE (RFI PAGE 3)



Key Action Dates

#	Key Action	Due Date
1.	Release of RFI	December 16, 2022
2.	Vendor Day (see details below)	January 4, 2023, 10:00 AM - 12:00 PM PST
3.	Due Date for Response to RFI	January 17, 2023



Questions and Answers

WHERE TO FIND PROJECT INFORMATION



Visit the CARS Project website

<https://www.sos.ca.gov/campaign-lobbying/cal-access-replacement-system-project-cars-updates/>

- View documents, news, and events
- Sign up to receive project updates

Submit questions and comments on the CARS RFI to:

ContractServices@sos.ca.gov



**Campaign
Finance &
Lobbying
Activities**

Learn More



**CAL-ACCESS
Replacement System
Project (CARS) Updates**