Step 3: How to Create or Claim Organization Profiles in the Lobbying Application ("LA")

The following instructions are intended to assist Filers to:

A. Claim an unverified Organization Profile;

B. Create a new, verified Organization Profile (if an Organization Profile does not exist in the LA); or

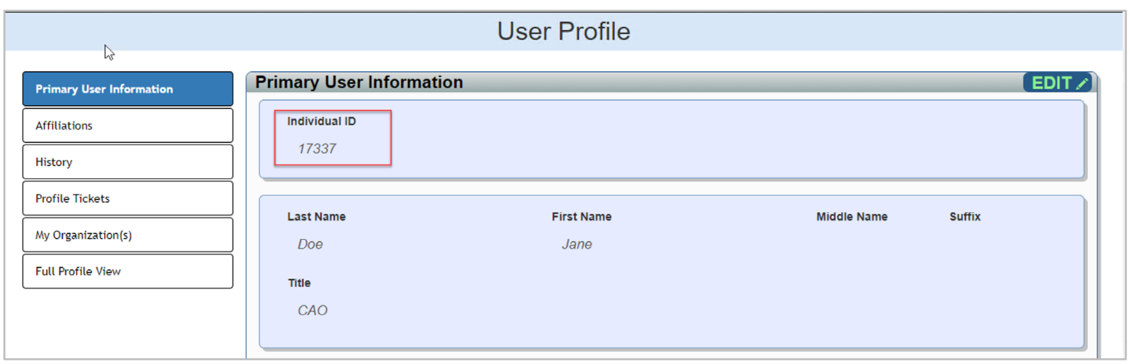
C. Create an Organization **'placeholder'** Profile (solely for the purposes of submitting a Filing).

IMPORTANT

Only the **'Responsible Party'** (Chief Administrative Officer, Delegated Administrator, or designee) of an Organization should **'Claim'** an unverified Organization Profile (Profile that exists in LA, but has not been verified); **or** **'Create'** a new Organization Profile.

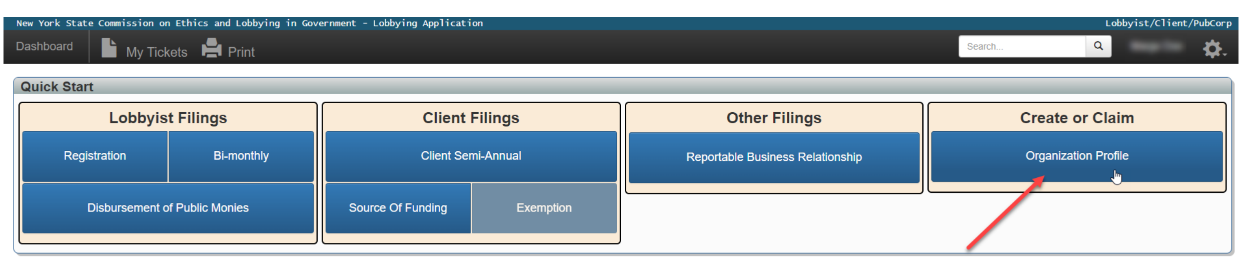
Every Individual User (CAO, DA, and Authorized Preparer) must have a **personal NY.gov ID account and** a verified Individual (User Profile) in LA BEOFRE an Organization Profile can be 'claimed' or 'created'. The Individual's numeric ID, generated from a verified Individual (User) Profile in LA, must be provided in the Organization Profile before they can be assigned a role within an Organization Profile.

Example of an Individual numeric Profile ID number.



TO CLAIM AN UNVERIFIED ORGANIZATION PROFILE

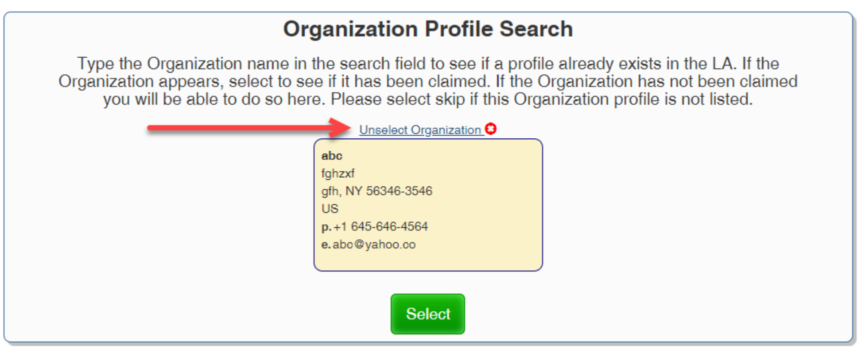
1. Click the **'Create or Claim Organization Profile'** button from the Quick Start Menu on your Dashboard.



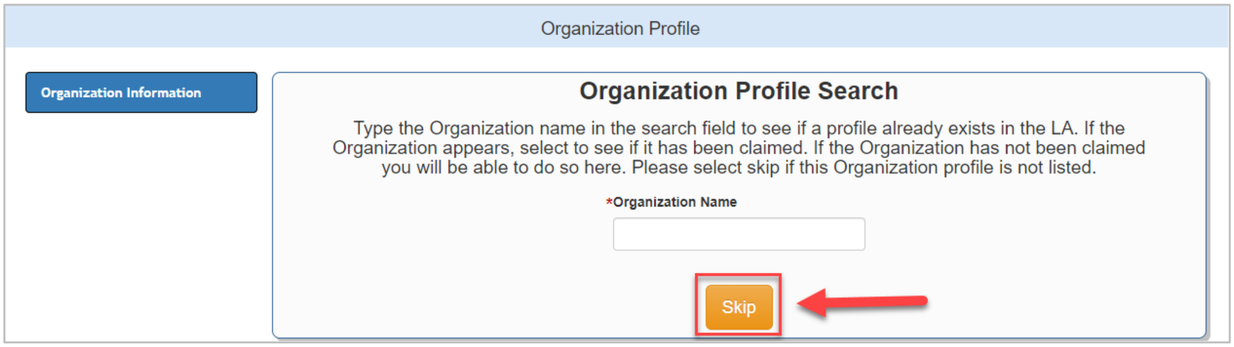
2. Type the first few characters of the Organization name in the **'Organization Name'** field. If the Organization name is an exact match or contains similarities to an existing Organization Profile in LA, a list of pre-populated results will display. **Please review ALL possible matches carefully to minimize the risk of a duplicate Profile being created in the LA.**

DO NOT CREATE A NEW PROFILE if any of the contact information (such as the phone number, email address or business address) is incorrect. Once you select the Profile, you will be able to edit the Profile to modify any incorrect information. If you are unsure, contact a Commission staff member for assistance.

- If you select an Organization in error and would like to remove it, click **'Unselect Organization'.**



- Click the "Esc" key on your keyboard to clear the list of suggested Organization Profiles; then, click **'Skip'** to create a ***new*** Organization Profile.

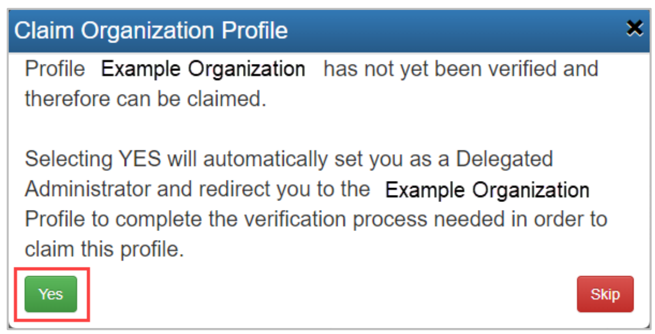


OPTION 'A' – Claim my Organization Profile

1. To select an unverified Organization Profile from the list, **click *inside* the box (next to the Organization name)**; then click the green '**Select**' button.

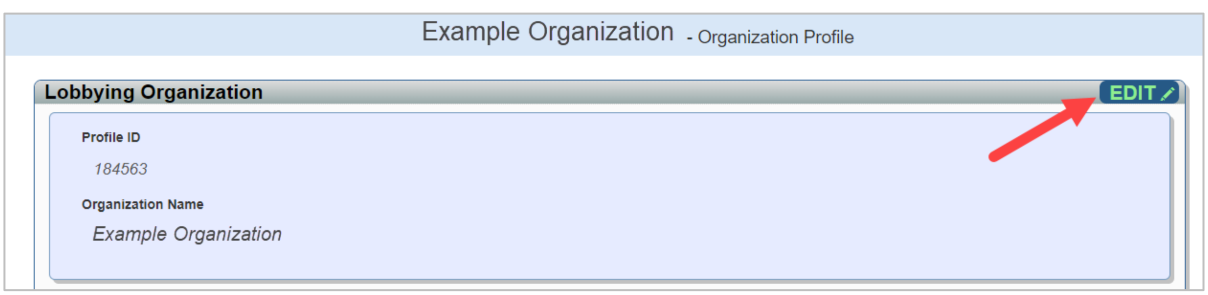
   a. If you are **<u>not</u>** an Individual who has any authority for this selected Organization and should not be listed as a Delegated Administrator, select the red '**skip**' button and follow instructions in **Option 'C'** (below) to create an Organization Placeholder solely for the purposes of submitting a Filing.

   b. **To claim** the unverified Organization Profile, click the green **'yes'** button. **NOTE**: You will automatically be added as a Delegated Administrator in the Organization Profile.



   c. **If you selected an Organization in error, click the red 'skip button.**

   d. You can edit any of the Organization information contained in the selected Profile by clicking the '**Edit**' button.



See, page 13 'Navigating the Functions of the Organization Profile' for detailed instructions how to navigate within the Organization Profile.

e. If you attempt to select an Organization Profile that has already been claimed, an error message will display. You must contact Commission staff at (518) 474-3973 or lobbyinghelpdesk@ethics.ny.gov for assistance.

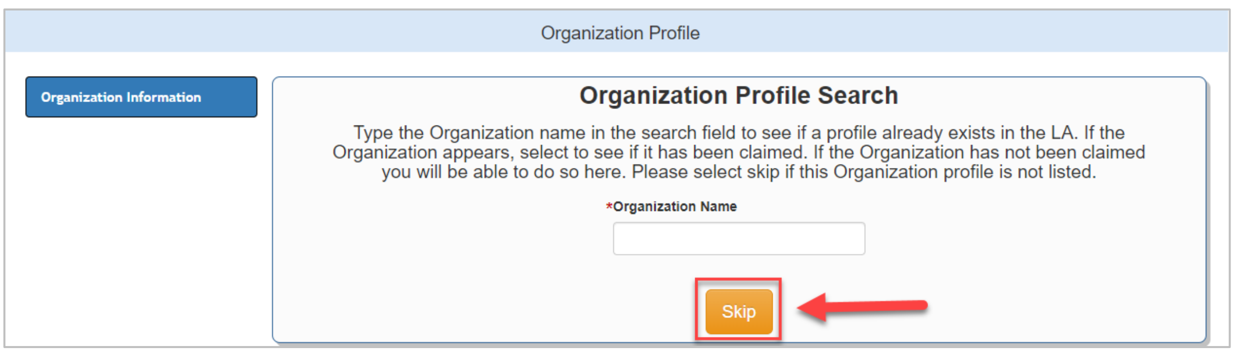
DO NOT create a *new* Profile unless a Commission staff member has advised you to do so. Otherwise, you may be unable to properly submit your Filings.

To create a *new* Profile, select the red '**Close**' button and follow instructions in **Option 'B'** (below).

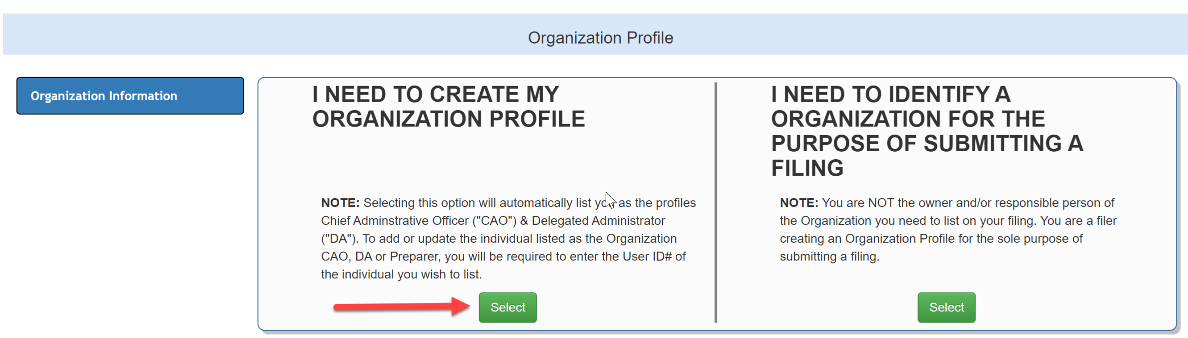
2. If your Organization name is not included in the list of possible matches, ***refer to 'Option B' instructions*** to create a new Profile (below).

OPTION 'B' – Create my Organization Profile

1. If your Organization name is NOT included in the list of suggested Organization Profiles, click the "Esc" key on your keyboard to clear the list of possible matches; then, click **'Skip'** to create a ***new*** Organization Profile.



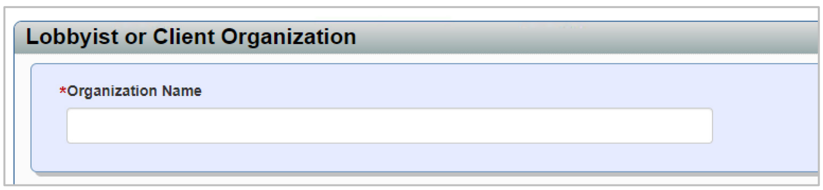
2. Click the green '**Select**" button in the **"I need to Create a new Organization Profile"** box.



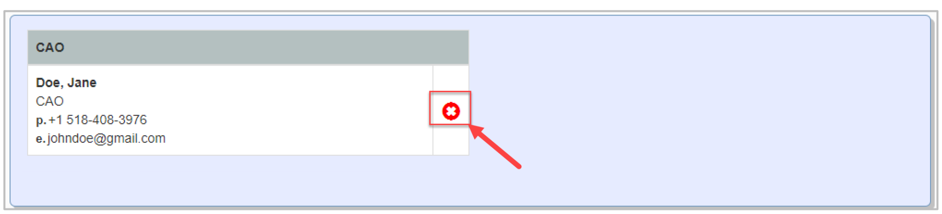
3. Select the type of Lobbying **'Organization'** (Lobbyist or Client Organization, Public Corporation, Coalition) by clicking on the applicable radio button; then click the green '**Continue**' button. **PLEASE NOTE:** LA automatically defaults to Lobbyist or Client Organization.

PRO TIP: Click any of the **'i'** info icons for guidance on the types of Organization and which applies to you. **NOTE:** A Public Corporation is a municipal corporation that engages in Lobbying Activity on its own behalf, a Public Corporation is not a publicly traded company. ***Example:*** *The City of Albany, The Dormitory Authority of the State of NY, and the Metropolitan Transportation Authority are examples of a Public Corporation.*

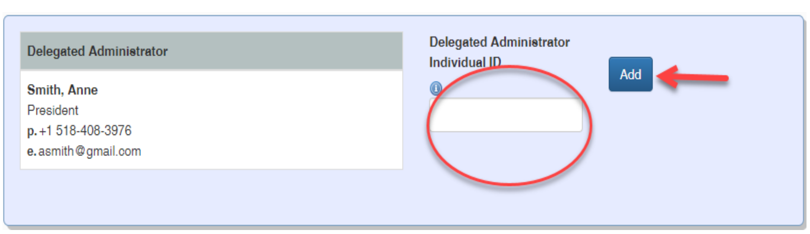
4. Enter the **'Organization Name'** in the text field.



5. LA will automatically assign you (the individual) as BOTH the **CAO (Chief Administrative Officer)** and **Delegated Administrator.** To assign a different individual as the CAO, click the red **'x'** and enter the Individual's numeric Profile ID number; then click **'Add'.**

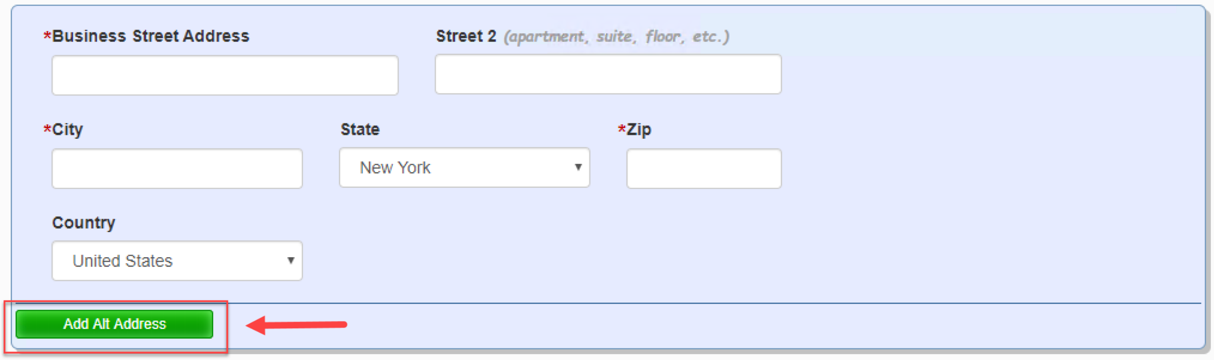


6. **Assign a second Delegated Administrator (optional).** Every Organization Profile may contain two Delegated Administrators. Since LA automatically assigns the individual who creates a new Organization Profile as a Delegated Administrator, LA allows you to also assign a second Delegated Administrator by entering the Individual's numeric Profile ID number in the empty **'Delegated Administrator'** field; then click **'Add'**.

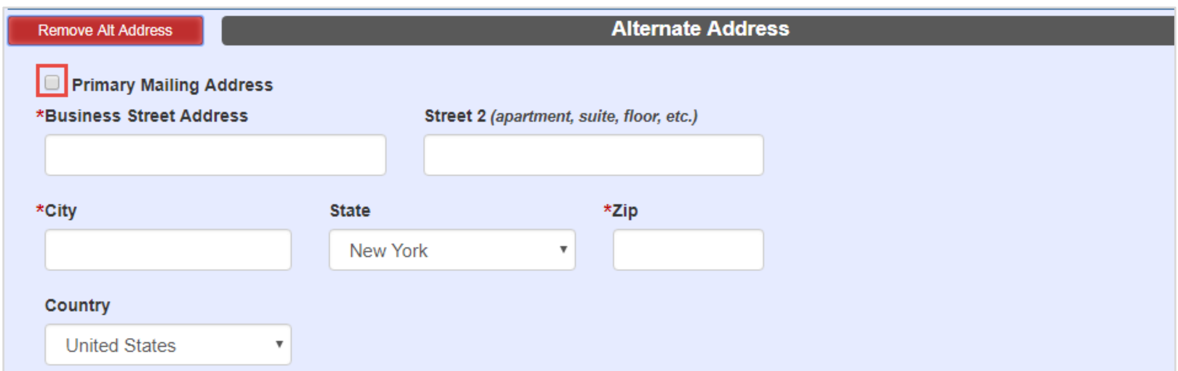


PRO TIP: An Individual who is assigned as the **Primary Delegated Administrator** cannot remove themselves from an Organization Profile. Only a CAO, or alternate Delegated Administrator can remove another Delegated Administrator.

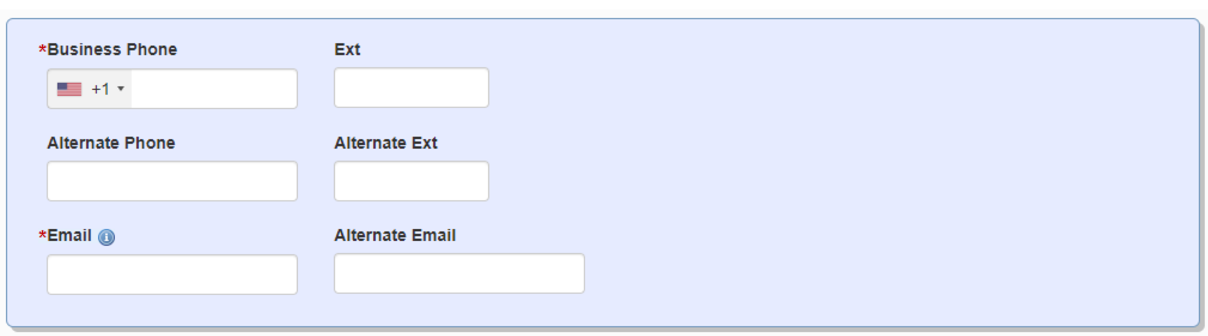
7. Enter the **'Business Street Address'** and all other contact information as required. Click the **'Add Alt Address'** button to include an alternate mailing address.



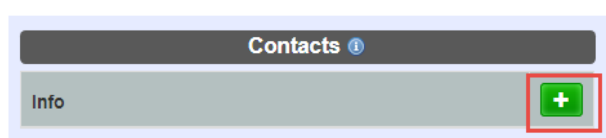
8. Click the **'Primary Mailing Address'** check box to assign the alternate address as the primary business mailing address for the Organization.

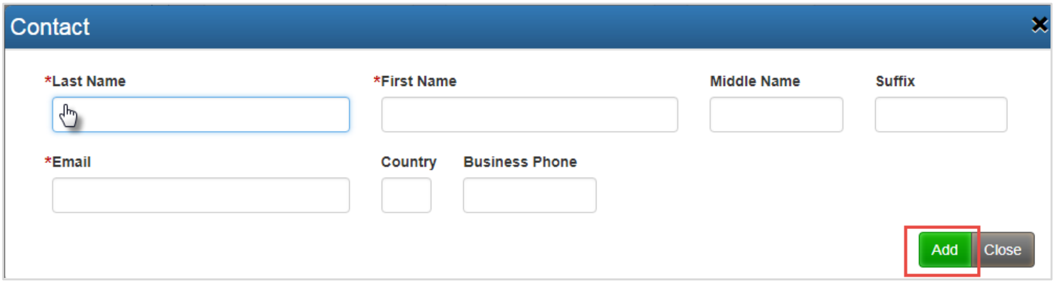


9. Enter the **Business Phone Number** and a valid **'Email'** address in the appropriate fields. **Do not use a general email address.** Enter an (optional) **'Alternate Email'** address, if desired. Notifications (including Filing issues) are sent to the Organization's email address, as well as the email addresses of the CAO, Delegated Administrator(s) and Preparer(s).



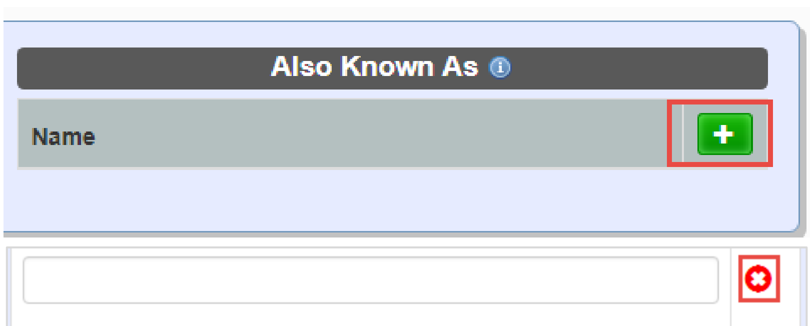
10. If you would like other individuals to receive e-blast notifications and reminders from the Commission, you may assign them as '**Contact(s)**'. Multiple contact names can be added. Click the green '+' (plus) button, to add a new contact. Enter the required contact information and click **'Add'** to save changes.





PLEASE NOTE: Individuals listed as a '**Contact**' do NOT receive notifications regarding issues with Filings.

11. **Also Known As** is used for entities that may be recognized by the public as an acronym or other similar identifier which is different than the Organization name in the Lobbying Application. To add an **'Also Known As'** name**,** click the green '+' (plus) button and enter that name in the field. Click the red and white **'X'** icon to undo any changes.



12. Read the **Attestation**, click the check box, and click the green **'Create'** button to access the Organization Profile navigation menu.

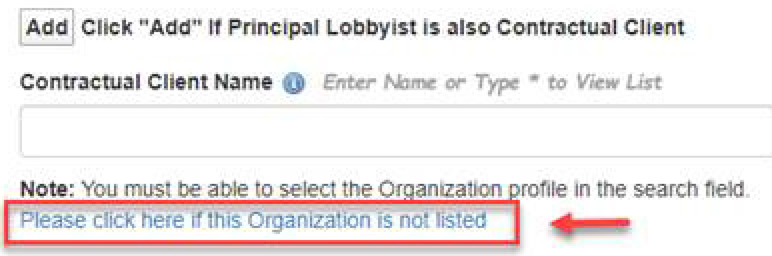
See, page 13 'Navigating the Functions of the Organization Profile' for detailed instructions how to navigate within the Organization Profile.

OPTION 'C' – Create a Placeholder Organization Profile so a Filing can be submitted

If necessary, LA allows a Filer to create a 'placeholder' Organization Profile solely for the purposes of submitting a Filing.

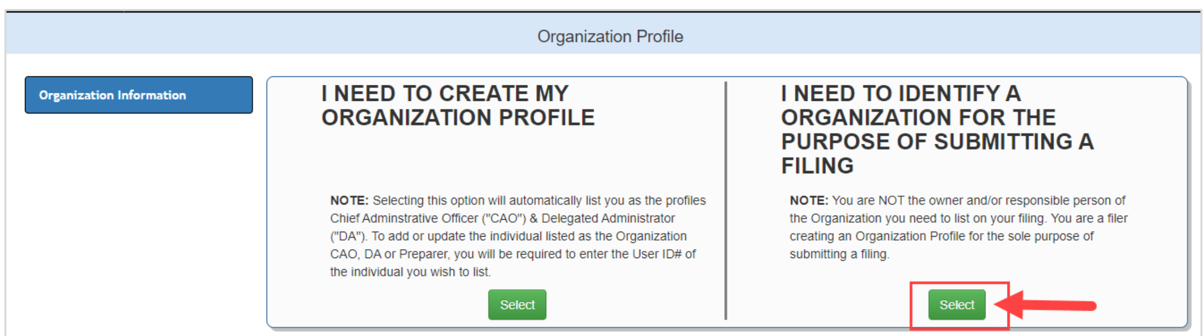
> ***Example:*** *I am the CAO of ABC Lobbying Organization and my Contractual Client, 'XYZ Client', <u>did not appear</u> in the dropdown when I entered their name in the* ***'Contractual Client Name'*** *search field when filling-out my Filing.*

To create a "placeholder" Organization Profile **when completing a Registration**, click the "*Please click here if this Organization is not listed*" hyperlink.

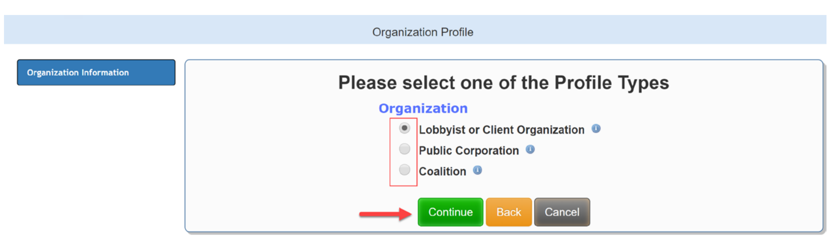


To create a "placeholder" Organization Profile **when completing a Client Semi-Annual ("CSA")**, you must ***save*** your CSA Report and then create a 'placeholder' Organization Profile for each Principal Lobbyist you wish to add by clicking the **'Create or Claim Organization Profile'** button from the Quick Start Menu on your Dashboard.

1. Click the green '**Select**" button in the **"I need to Identify an Organization for the purpose of submitting a Filing'** box.



2. Select the type of Lobbying **'Organization'** (Lobbyist or Client Organization, Public Corporation, Coalition) by clicking on the applicable radio button; then click the green '**Continue**' button. **PLEASE NOTE:** LA automatically defaults to Lobbyist or Client Organization.



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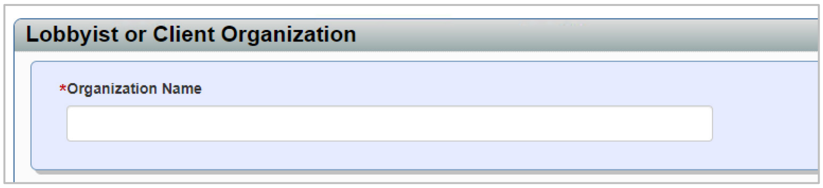

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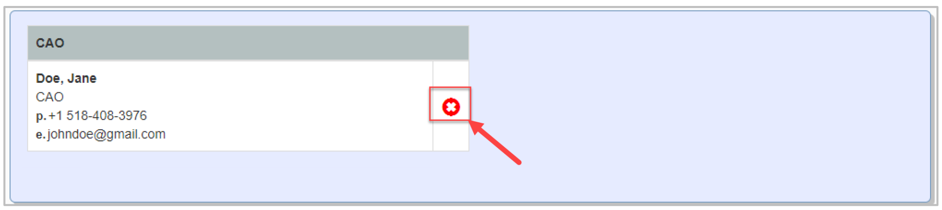

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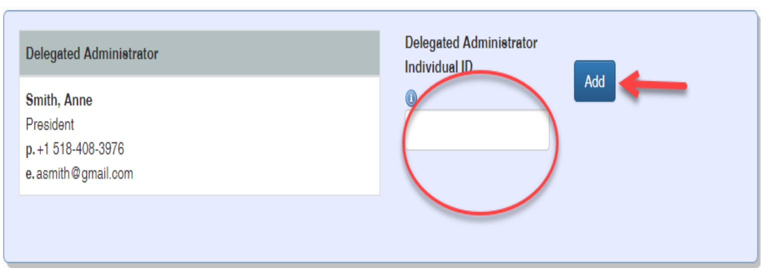

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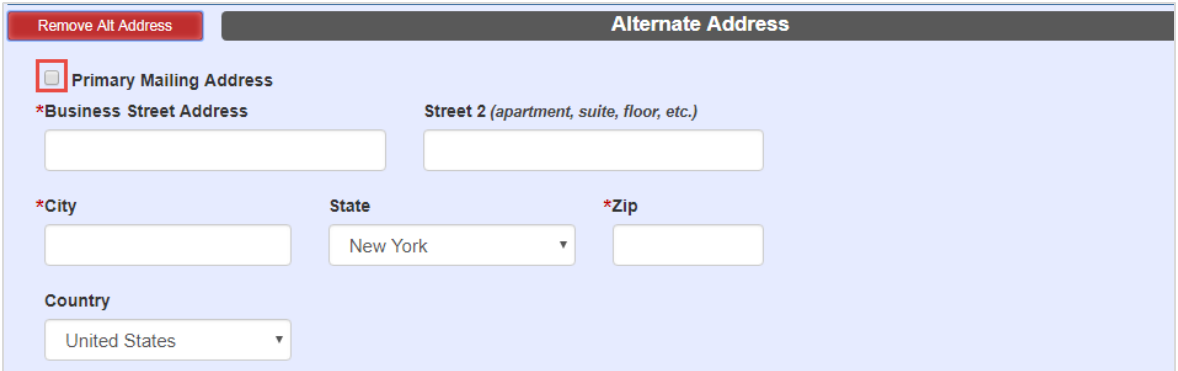

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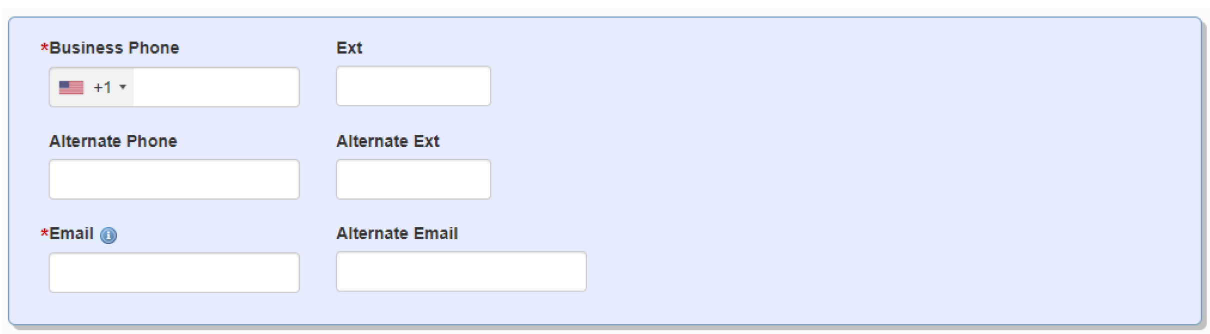

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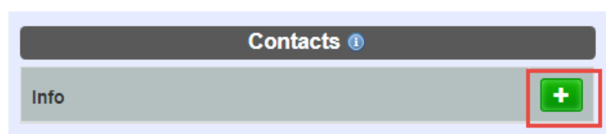

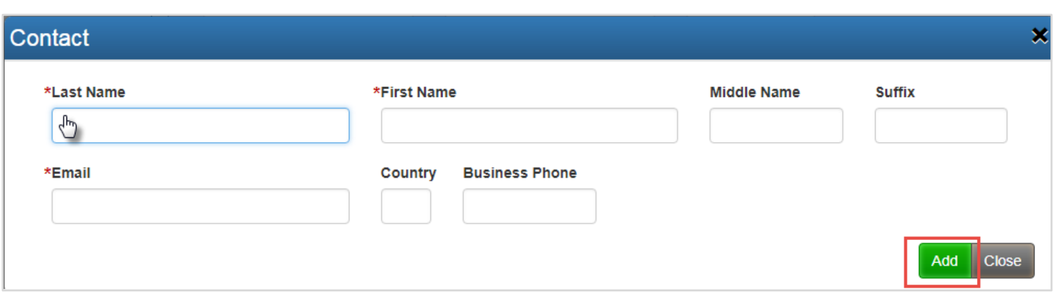

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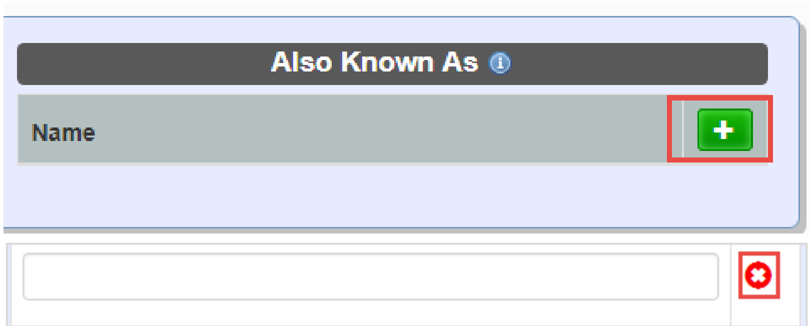
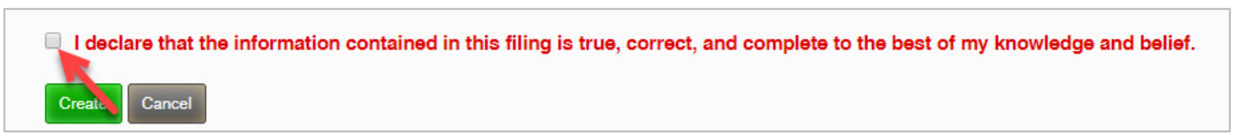
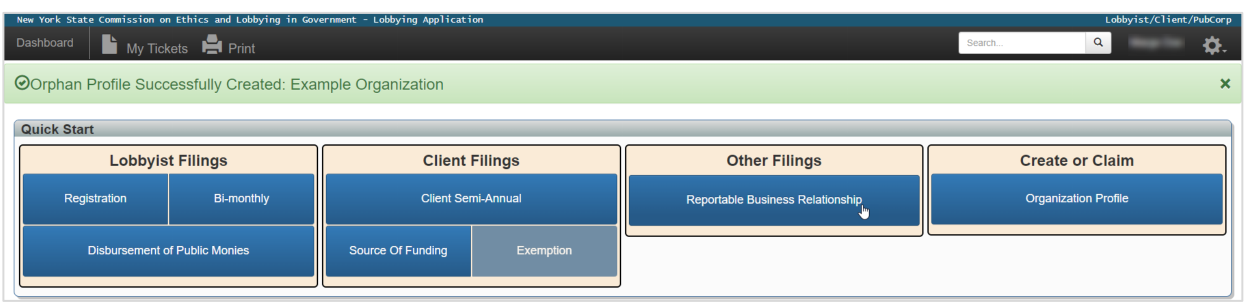


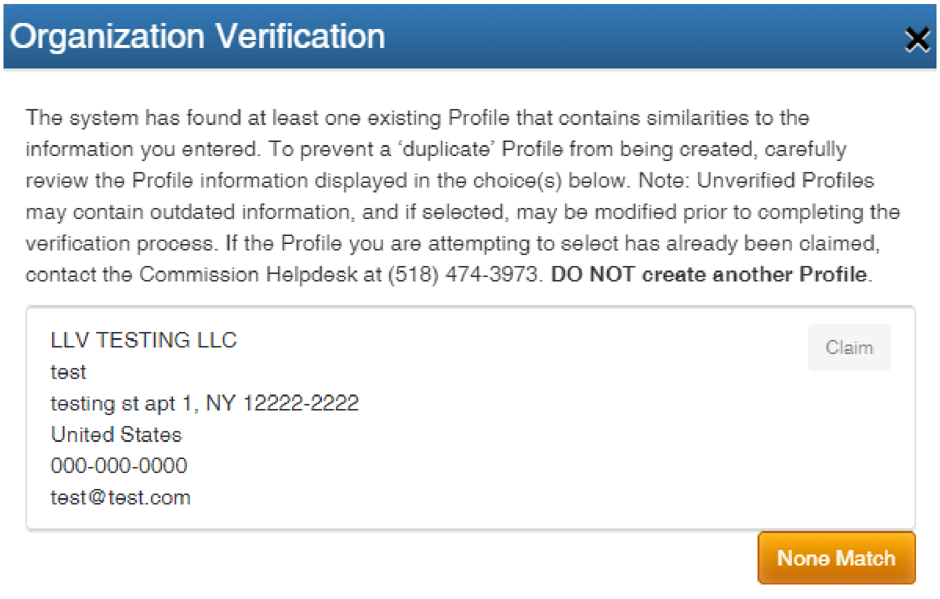
11. Read the **Attestation**, click the check box, and click the green **'Create'** button to access the Organization Profile navigation menu.



12. LA will automatically check it's database for *duplicate* Profiles with the same Organization name. If no duplicates are found, a *success banner* with the Organization name will appear on your Dashboard. The placeholder Organization Profile will now be available for selection on any Filing.



PLEASE NOTE: If LA finds a possible *duplicate* Profile, a message box will appear:



If any of the Organization Profiles displayed are NOT your organization, click the orange '**None Match**' button. LA will create an Orphan Profile which must be reviewed by Commission staff. Please contact the Lobbying HelpDesk at (518) 474-3973 or send an email to LobbyingHelpDesk@ethics.ny.gov for further assistance.

NAVIGATING THE FUNCTIONS OF THE ORGANIZATION PROFILE

The Organization Profile contains all information related to the Organization and includes a navigation menu of commonly used functions automatically built in, which are described below.

A. **Organization Information** – contains contact information; and allows authorized users to create and assign Individuals as:

   1. the CAO
   2. a Delegated Administrator(s)

B. **Individual Lobbyists** – create and assign Individual Lobbyists to the Organization Profile;

C. **Authorized Preparers** – assign Authorized Preparers to file on behalf of the Organization;

D. **Affiliations** – Displays all individuals and Organizations that are “affiliated” to the Organization Profile;

E. **Business Relationship Form List** – view and file Reportable Business Relationships;

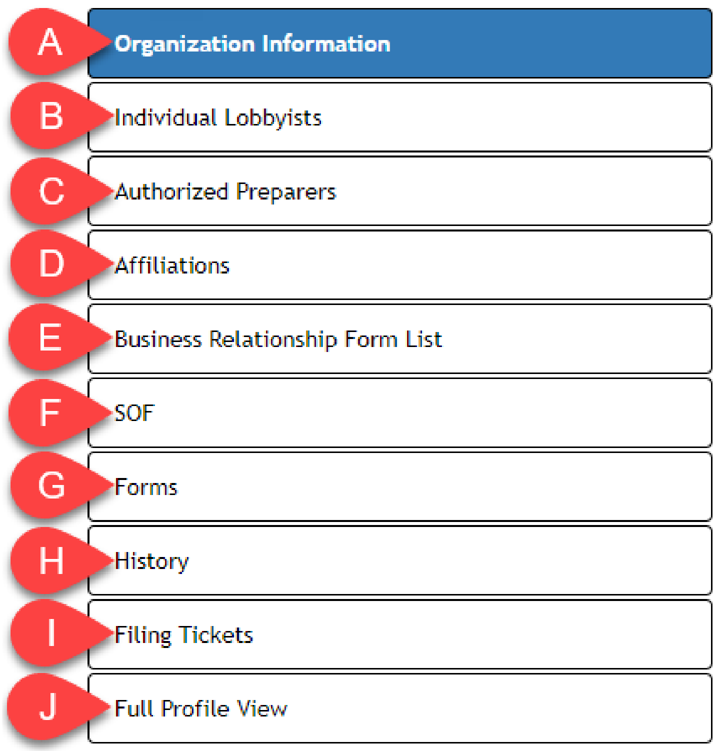
F. **SOF** – View and file Source of Funding;

G. **Forms** – View all saved and submitted forms related to the Organization;

H. **History** – View a history of any edits made to the Organization Profile;

I. **Filing Tickets** – View all Filing Tickets associated with the Organization;

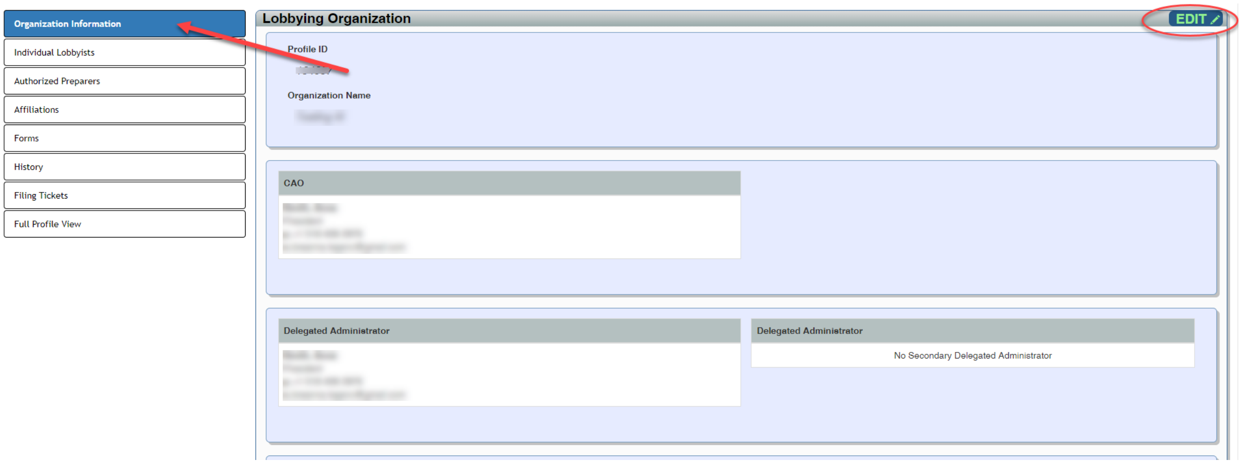
J. **Full Profile View** – Eliminate the need to click through each of the above menu items and view the entire contents of the Organization in full view.



PRO TIP: Not sure which tab you are on? Profile menu items that are selected are highlighted in blue. (see ‘Organization Information’ tab above.)

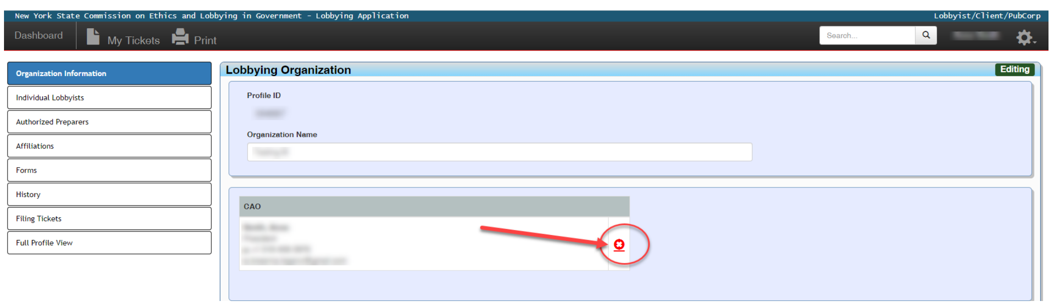
A. HOW TO MODIFY THE CAO AND/OR DELEGATED ADMINISTRATOR(S):

1. Select the **'Organization Information'** tab on the navigation menu and click **'EDIT'**.

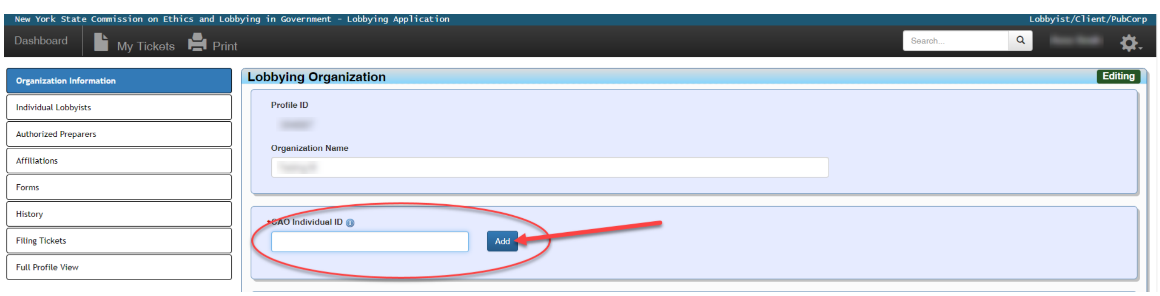


2. **TO CHANGE THE CAO NAME:**

- Click the red **'x'** next to the CAO name.

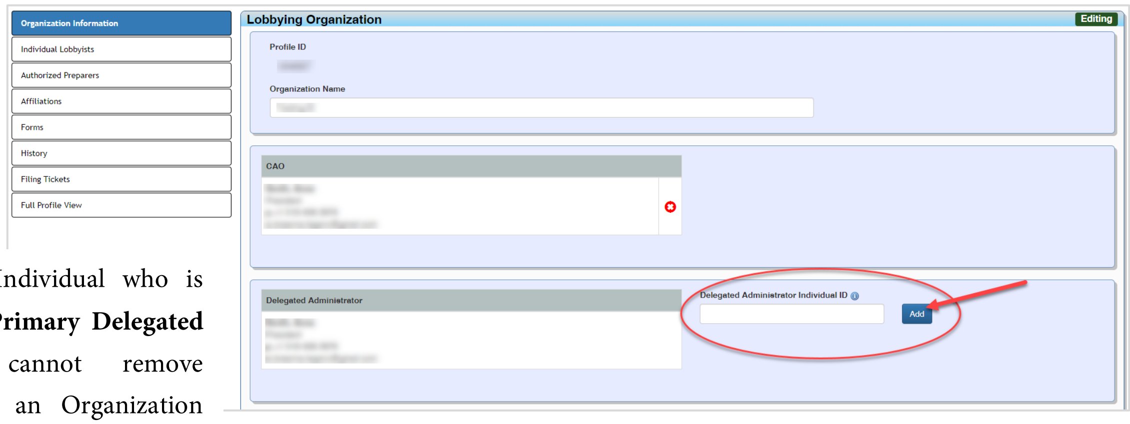


- Enter the Individual's numeric Profile ID number in the empty **'CAO Individual ID'** field; then click **'Add'**.



3. **TO ADD A DELEGATED ADMINISTRATOR NAME:**

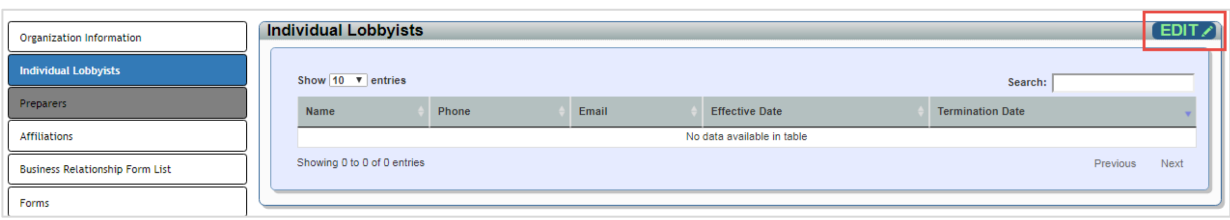
   ➢ Enter the Individual's numeric Profile ID number in the empty **'Delegated Administrator Individual ID'** field; then click **'Add'.**



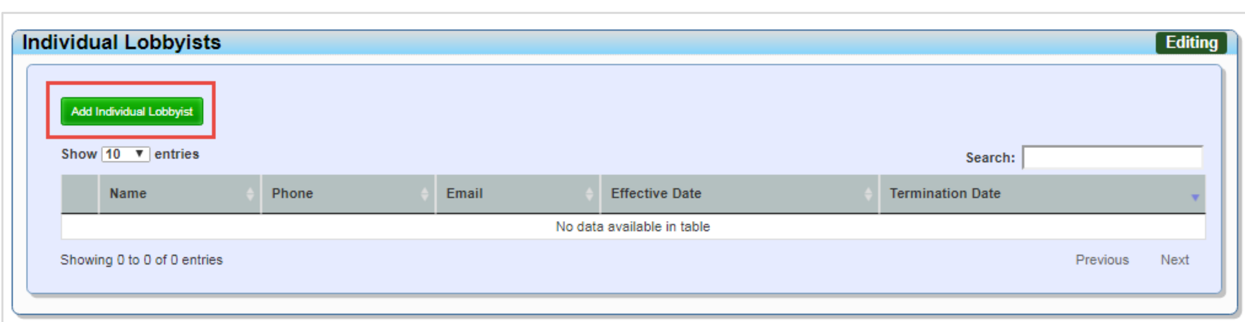
PRO TIP: An Individual who is assigned as the **Primary Delegated Administrator** cannot remove themselves from an Organization Profile. Only a CAO, or alternate Delegated Administrator can remove another Delegated Administrator.

B. HOW TO ADD INDIVIDUAL LOBBYISTS TO AN ORGANIZATION PROFILE:

1. Select the **'Individual Lobbyists'** tab on the navigation menu and click **'EDIT'.**



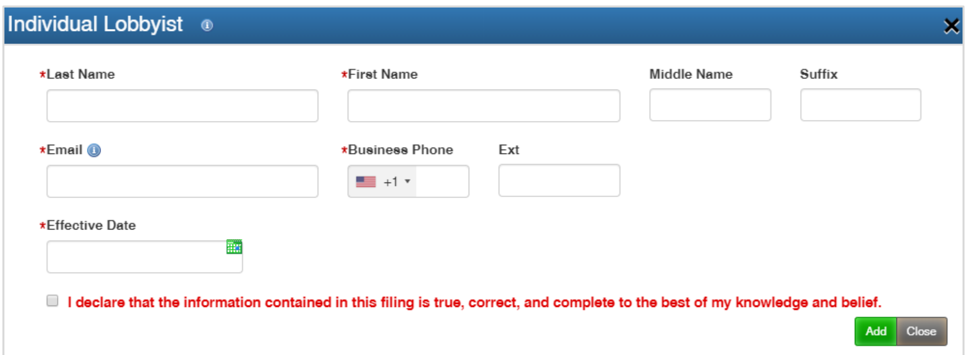
2. Click the green **'Add Individual Lobbyist'** button.



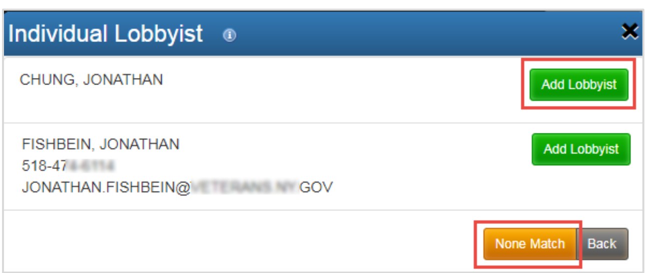
3. Enter the required contact information for the Individual Lobbyist. Use the green calendar icon to enter the Individual Lobbyist's **'Effective Date'** (the earliest date that person was authorized to lobby for the firm/org for at least one of the firm's clients. This date is also

used to determine that person's online ethics training requirement). You may also type in the effective date by using a mm/dd/yyyy format.

4. Read the **Attestation**, click the check box, and click **'Add'** to save changes or click **'Close'** to discard and return to the prior screen. Repeat these steps for every Individual Lobbyist added to your Organization Profile.



PLEASE NOTE: LA will automatically check it's database for *duplicate* Individual Profiles with the same name. If LA finds a possible *duplicate* Individual Profile, the below message box will appear:



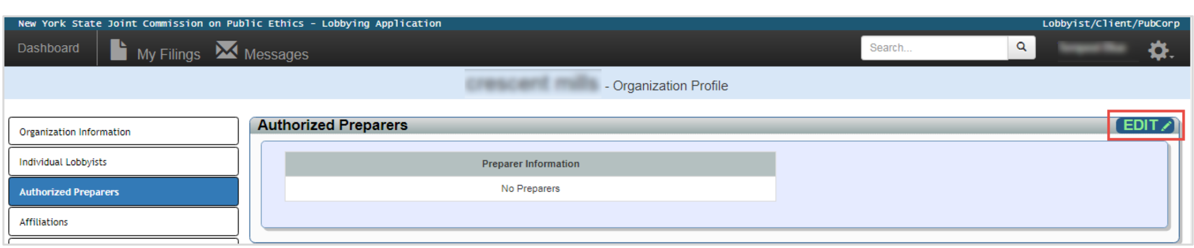
To select an Individual Lobbyist from the list of possible matches, click **'Add Lobbyist'**. Otherwise, click **'None Match'** to save your changes and create a new Profile for your Individual Lobbyist.

To discard your changes and return to the prior screen, click the **'Back'** button.

C. HOW TO ASSIGN AN AUTHORIZED PREPARER TO AN ORGANIZATION PROFILE:

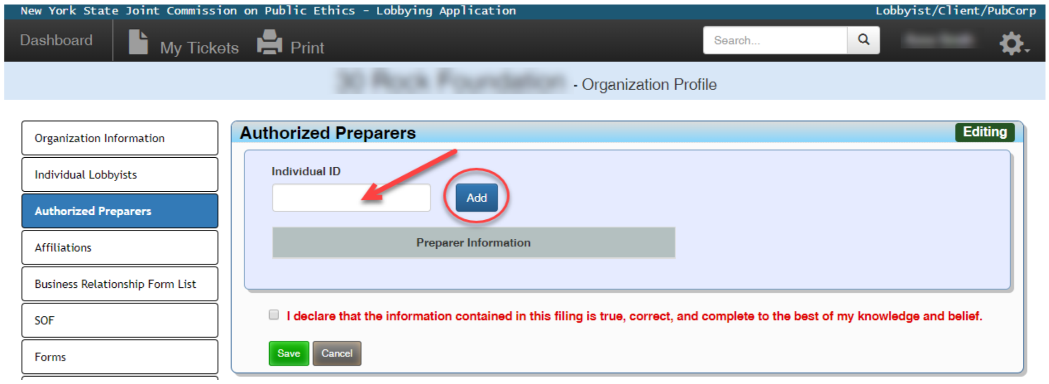
PLEASE NOTE: Only the CAO and DA can assign/remove an *Authorized Preparer*.

1. To allow an Individual to prepare and submit Filings on behalf of an Organization, select the **'Authorized Preparers'** tab on the navigation menu and click **'EDIT'**.

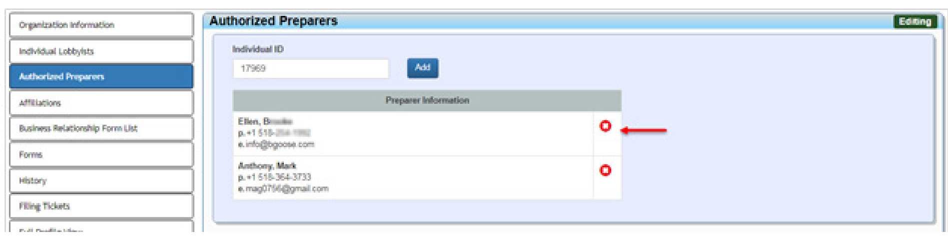


2. Enter the Individual's numeric Profile ID number in the Preparer text box and click the blue **'Add'** button. You may add multiple Preparers to the Organization Profile by entering an Individual numeric

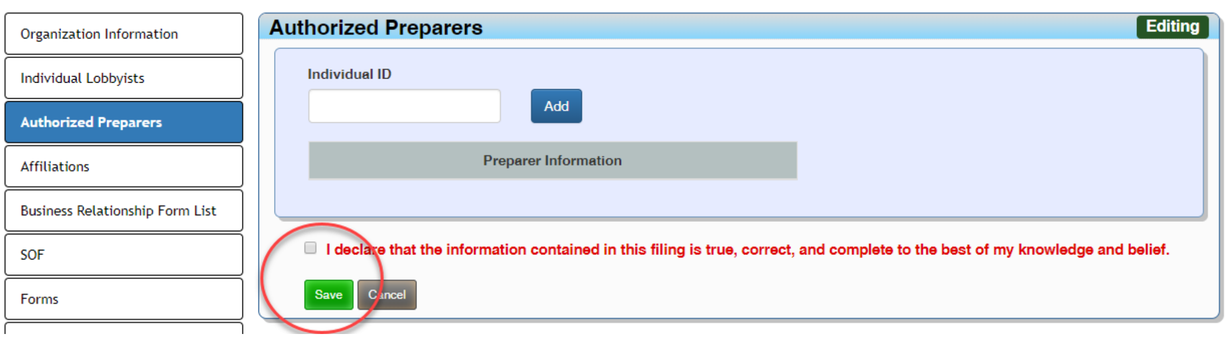
Profile ID number for *each* person. (An Individual's numeric Profile ID number is located in that Individual's User Profile.)



3. To remove a Preparer, click the red circle **'X'** icon next to the Individual's name.



4. When you have finished adding Preparers to the Organization Profile, read the **Attestation**, click the check box, and click **'Save'.**



D. AFFILIATIONS AND THE ORGANIZATION PROFILE:

An affiliation is created when individuals and/or entities have a role or relationship with the Organization. When a new Individual or Organization Profile is created, or an existing Individual or Organization Profile is claimed, the following roles will be "affiliated" to the Organization Profile:

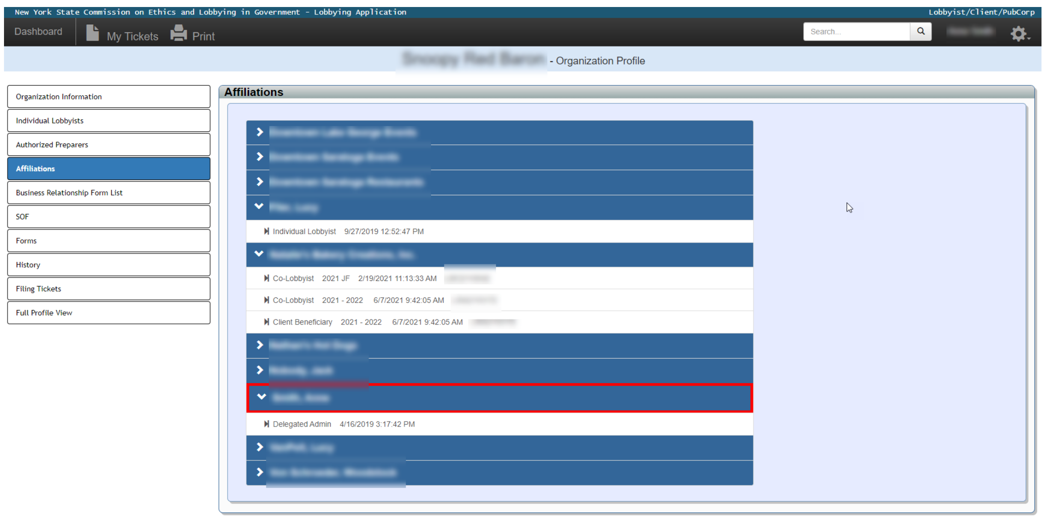
- CAO
- Delegated Administrator(s)*
- Preparer(s)*
- Individual Lobbyist(s)

- Co-Lobbyist and Sub-Lobbyist relationships
- Contractual and Beneficial Clients

*NOTE: *Preparers* or *Delegated Administrators* are the only affiliations that may be removed from your Organization Profile.

1. To view the list of Affiliations associated with your Organization Profile, select the **'Affiliations'** tab from the navigation menu.

2. Click the 'name' (contained in a blue header) to expand and view details.



E. BUSINESS RELATIONSHIP FORM LIST ("RBR"):

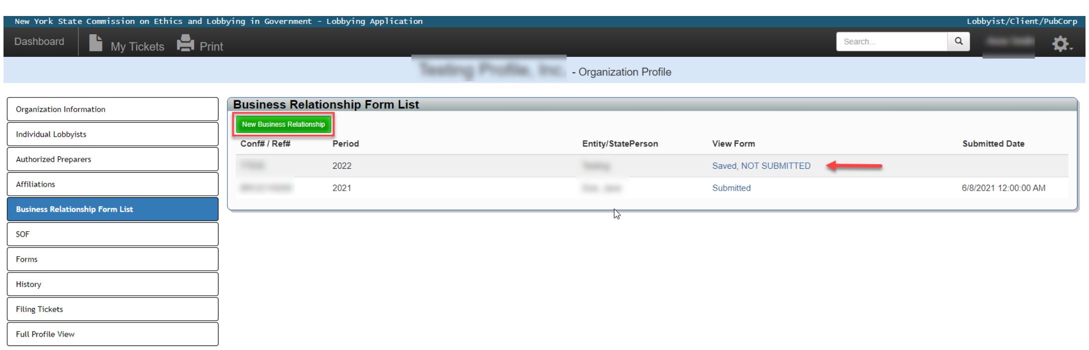
You may create a new 'RBR' form and/or view and submit a previously saved form within this tab.

1. **TO FILE A NEW RBR FORM:**

   - Click the green **'New Business Relationship'** button.

2. **TO VIEW A SAVED FORM:**

   - Click on the **'Saved, Not Submitted'** hyperlink.



Refer to the 'How to File RBR Instructions' on the Commission's website for detailed information.

F. SOURCE OF FUNDING FORM LIST ("SoF"):

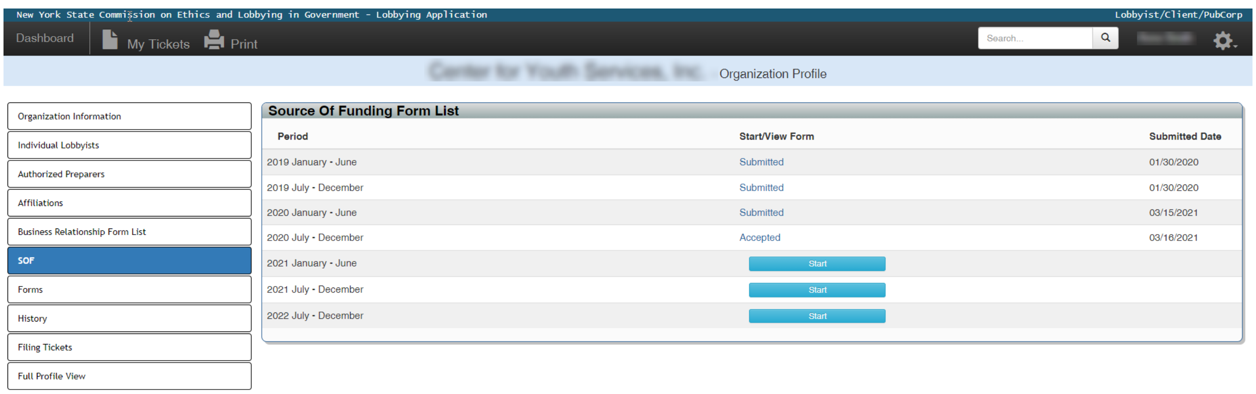
You may create a new 'SoF' form and/or view and submit a previously saved form within this tab.

1. **TO FILE A NEW SoF FORM:**

   ➢ Click the blue **'Start'** button.

2. **TO VIEW A SAVED FORM:**

   ➢ Click on the **'Saved, Not Submitted'** hyperlink.

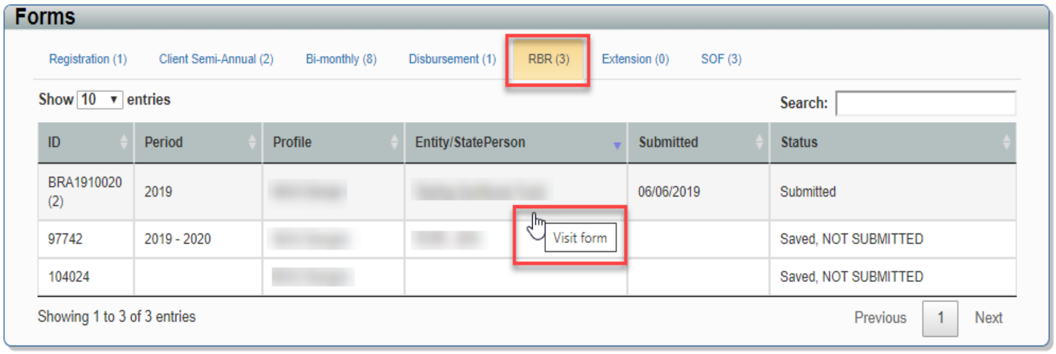


Refer to the 'How to File SoF Instructions' on the Commission's website for detailed information.

G. FORMS (FILINGS RELATED TO THE ORGANIZATION):

1. To VIEW any of your Filings (saved or submitted), select the **'Forms'** tab on the navigation menu, and select the appropriate *Form name* sub-tab to filter results to a specific filing type (Registration, Client Semi-Annual, Bi-monthly, etc.). The total number of Forms filed for each *Form* is displayed to the left of the *Form name* sub-tab.

2. Click anywhere in the row to view the Filing.



PRO TIP: Click any of the Forms with the wheel in between the *mouse buttons* to open the Filing in a new window.

H. HISTORY:

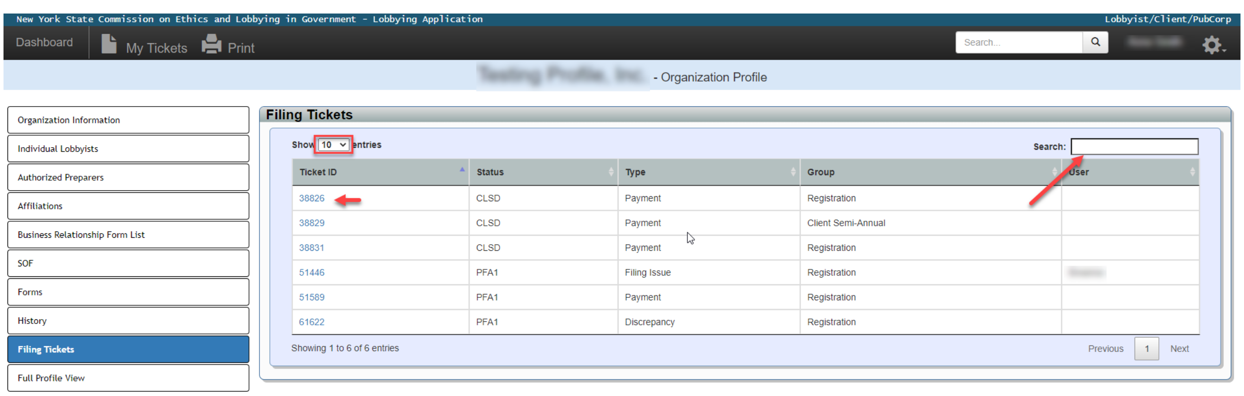
Click on the **'History'** tab on the navigation menu to view changes that have been made to the Organization Profile.

I. FILING TICKETS:

Commission staff may assign a Ticket to a Filing if there are any issues.

1. To VIEW any of your Tickets, select the **'Filing Tickets'** tab on the navigation menu, and select the Ticket by either:
   - Clicking on the Ticket to open in the current window;
   - Clicking the wheel in between the *mouse buttons* to open the Ticket in a new window;
   - Searching for a specific Ticket using the **'Search'** field.

2. You can adjust the number of Tickets on the screen by selecting a number from the **'Show Entries'** drop-down menu.

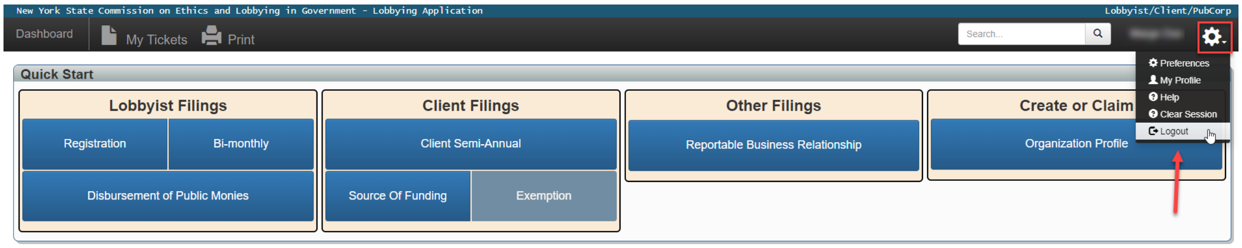


J. FULL PROFILE VIEW:

Click the **'Full Profile View'** tab on the navigation menu to view all of the information contained in the Organization Profile at once without having to click on each sub-tab.

EXITING THE LOBBYING APPLICATION

When you have finished reviewing the Organization Profile, click the gear symbol located at the top right of the screen, and click **'Logout'**.



Need help? Contact the Commission's Lobbying Helpdesk at (518) 474-3973 or send an e-mail to LobbyingHelpDesk@ethics.ny.gov.