



## How to Properly Disclose Lobbying Activities on Bi-monthly and Client Semi-Annual Reports

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*The following provides guidance regarding how to properly disclose Lobbying Activities with the required specificity in your Lobbyist, Client, Public Corporation Reports, and Disbursement of Public Monies filings.*

Please be aware the Registration reporting requirements for the Lobbying Activities section differ from the Bi-monthly reporting requirements. A Registration is considered a 'forward-looking' document which requires the Filer to disclose much broader information, if known. A Bi-monthly Report, however, is a document which necessitates a level of specificity that makes clear to the public exactly *what* and *who* was being lobbied during the specific Bi-monthly reporting period.

### WHAT'S NEW FOR 2021

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In addition to incorporating changes to the lobbying regulations, JCOPE staff has improved the functionality of the Lobbying Application ('LA') in order to promote transparency for the public and streamline the filing process for the regulated community. Below is a brief description of the key enhancements and changes:

- Revised Lobbyist, Public Corporation, and Disbursement of Public Monies Bi-Monthly writable PDF forms are available for paper filers on the JCOPE website.
- Lobbying Activities reported on your Registration will **NO LONGER** populate to your Bi-Monthly Report.
- To streamline lobbying activity disclosures and increase transparency to the public, LA was enhanced to:
  - allow Filers to add additional information to an existing 'Party Name' in the Lobbying section of the LA, rather than being allowed to immediately free-type information. This enhancement will eliminate inaccurate, duplicate, or inconsistent Party Names. **As such, the functionality to add a 'new party' has been eliminated.**
- To streamline reporting of parties lobbied, over 200 Boards, Commissions and Divisions within New York City have been added to the LA Parties Lobbied Database, including the names of NYC Council Members and Borough Presidents.
- To further simplify the reporting process, filers may now select an entire group of County Legislators instead of listing each County Legislator separately on a Bi-Monthly Report.

*Revised 3/18/2021*

### GENERAL RULES ON DISCLOSING LOBBYING ACTIVITIES

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The actual Lobbying Activities that occurred during the specific reporting period must be disclosed by identifying the:

1. **Focus Type** (State and/or Municipal Bill, Rule, Regulation, Procurement Contract, Executive Order, etc.);
2. **Focus Identifying Number** (including the specific Bill, Resolution, Executive Order, etc.), if known; or Description of the Focus;
3. **Type of Lobbying Communication** (Monitoring Only, Direct Lobbying, Grassroots Lobbying, or Both [Direct and Grassroots]); and,

**NOTE:** If you have **not actually Lobbied a specific Party**, you may select ‘**Monitoring Only**’. You are not required to disclose the names of any ‘**Party(ies) Lobbied**’ for that specific Focus.

4. **Names of the Party(ies) Lobbied\*** on the specific Focus (which includes the Government Body, Party Name, and additional information). LA will automatically identify the Government Body associated to a Party Name. Filers may be required to identify additional information related to a selected Party Name (*see detailed information below*).

\* Please contact JCOPE if a Legislator’s name, Senate or Assembly Committee, State Agency, NYC Council Member, or NYC Board/Division/Commission is missing from the Parties Lobbied Database.

### HOW TO DISCLOSE STATE AND MUNICIPAL LEVEL FOCUSES

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Below are some guidelines on how to properly disclose certain focus types.

**How to disclose an Identifying Number** (such as a State and/or Municipal Bill, Rule, Regulation, Procurement Contract, Executive Order number, etc.)

1. **Chapter Laws** are identified by providing the complete title.
  - **Correct:** Chapter 16 of the laws of 1971
  - **Incorrect:** Chapter 16; or Laws of 1971
2. **Procurement Contracts** are identified by providing the number.
  - **Correct:** OER01-C11006MWBE-1120000

**Certain Lobbying Focuses require unique formatting specifications.**

1. **Senate and Assembly Bills** must be inputted by entering a **capital ‘S’** for a Senate Bill number, or a **capital ‘A’** for an Assembly Bill number. *Do not add a space, hyphen, period, or other character between the capital letter and the bill number.*
  - **Correct:** A1234
  - **Incorrect:** a1234; or a 1234; or A 1234; or A\_1234

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2. **Amended Senate and Assembly Bills** must be inputted by denoting the corresponding letter suffix (A, B, C, D and so on). Amended State bills are altered to add a letter suffix each time the bill is amended. Please ensure the letter at the end of the amended Bill number includes a dash before it.
  - **Correct:** A1345-A
  - **Incorrect:** a1234A; or a 1234a; or A 1234a; or A\_1234A

**How to disclose a *Description of a Focus*** (if an *Identifying Number* is *not known*, you must provide a **Description** of the Focus that clearly communicates the focus of the lobbying effort.)

1. **State Level Focuses** are identified by providing a clear description of the focus of the lobbying effort (who and what is impacted).
  - **Correct:** Transportation Regulations that Impact Farmers Transporting Fresh Produce
  - **Incorrect:** Transportation; or Transportation Regulations
2. **Municipal Level Focuses** are identified by providing a clear description of the focus **and the specific municipality** the Lobbying Activity is intended to impact.
  - **Correct:** Municipal Bill regarding single stream recycling in the Town of Bethlehem, New York.
  - **Incorrect:** Single stream recycling
3. **Budget related Focuses** are identified by providing a clear description of what **specifically within the budget** is the target of the lobbying effort.
  - **Correct:** State Operations Budget Bill; or Health and Mental Hygiene Budget Bill; or REV Article VII Amendments Budget Bill; or NYC Operating Budget Resolution; or NYC Capital Budget Resolution.
  - **Incorrect:** Budget; or Budget Funding

## THINGS TO KNOW WHEN DISCLOSING PARTY(IES) LOBBIED

The direct connection (one-to-one relationship) between the Focus and the target(s) (referred to as '**Parties Lobbied**') of any reportable "**Lobbying Activity**" must be identified. In order to disclose the Party or Parties Lobbied on a Focus or Focus Description, you should start typing in the Party Name in the Party field and then choose the correct Name from those that display for selection (as shown in this screen shot).

### Best Practices for Searching a 'Party Name' in the LA Database

Every '**Party**' listed in the LA Database contains two components:

The screenshot shows a search interface for 'Lobbying Parties'. At the top, there is a blue header with the text 'Lobbying Parties'. Below the header is a button labeled 'Add Party Lobbied'. Underneath is a search input field with the text 'albany'. Below the input field, a list of search results is displayed. The first result is 'Albany City', which is circled in red. Other results include 'A communication sent to all Albany County Legislators', 'ALBANY AVENUE LIGHTING DISTRICT', and 'Albany City Industrial Development Agency'.

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- (1) the ‘Government body’ (displayed in light grey *italicized lettering*), and
- (2) the main ‘Party Name’ (indicated by the **bold type letter**).

### When typing a ‘Party Name’ in the ‘Party’ text box:

- Always search by the main identifier of the ‘Party Name’.
  - **Example:** To search for the **New York State Joint Commission on Public Ethics**, type ‘Ethics’ and/or ‘Public Ethics’ in the ‘Party’ search text field to view a more defined list of search results.
- Avoid searching by commonly used identifiers such as NYS, Commission, Board, Division.
- Search by either the First or Last name of a Senator or Assemblyperson; do not search by typing ‘Senator’ as the first identifier.
- When searching Cities, Counties, Towns or Villages, type ‘Albany’ instead of ‘City of Albany’.

### **SEE EXAMPLES OF COMMON DISCLOSURES BELOW FOR MORE DETAILS**

## GUIDELINES ON DISCLOSING DIRECT LOBBYING ACTIVITIES

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If you Attempted to Influence a Lobbying Activity through Direct or Preliminary Contact with a Public Official, or through communication or interaction directed to a Public Official, or the Public Official’s staff (**Direct Lobbying**), you must identify the **Parties** (targets) of the **Direct Contact**.

## GUIDELINES ON DISCLOSING GRASSROOTS LOBBYING ACTIVITIES

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If you Attempted to Influence a Public Official **indirectly, or through another**, with a **Communication** that takes a clear position and includes a **Call to Action (Grassroots Lobbying)**, you must identify the ‘**targets**’ (which may be a person; state agency; municipality; or legislative body) of the Grassroots Lobbying effort.

**NOTE:** A **Call to Action** encourages a segment of the public or an individual to directly contact a Public Official; or encourages others to directly contact a Public Official.

## GUIDELINES ON DISCLOSING BOTH DIRECT AND GRASSROOTS LOBBYING ACTIVITIES

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If you performed BOTH Direct and Grassroots Lobbying, you must disclose the following information:

- **For Direct Lobbying** – identify the **Parties** (targets) of the **Direct Contact** (the name of a Public Official or Public Official’s Office; OR Legislative Committee, etc.).
- **For Grassroots Lobbying** – identify the intended ‘**targets**’ of the Grassroots Lobbying Activity, which may be a person; state agency; municipality; or legislative body.

### HOW AND WHEN TO INCLUDE ADDITIONAL INFORMATION TO AN EXISTING 'PARTY NAME'

The LA Database includes a list of Party Names that, if selected, will **not** require any additional information from the filer. This includes, but is not limited to, the names of every State Legislator and Legislative Committee (and 'staff member' of every such Legislator and Committee), the Governor, Lieutenant Governor, and Executive Chamber, and New York City Council Members.

Certain 'Party Names', when selected from the LA Database, will require Filers to include additional information. This most often occurs when you lobby a State or Municipal Agency. Additional information, when required, can be disclosed by data-entering the information in *either* of the two categories provided:

1. Unit, Division, or Department Lobbied\*; **OR**
2. First Name/Last Name or Title of Person Lobbied

**NOTE: You are NOT required to disclose information in BOTH categories;** but you are also not prohibited from disclosing information in BOTH categories *if known*.

**Quick rule of thumb:** If the following 'box' appears on your screen after you select a 'Party Name', you must include additional information in *either* column (labeled 1 or 2) by clicking the green 'Add' button. For detailed step-by-step 'click here' instructions on reporting Lobbying Activities in LA, refer to the *'How to file in LA'* technical instructions for the specific filing.

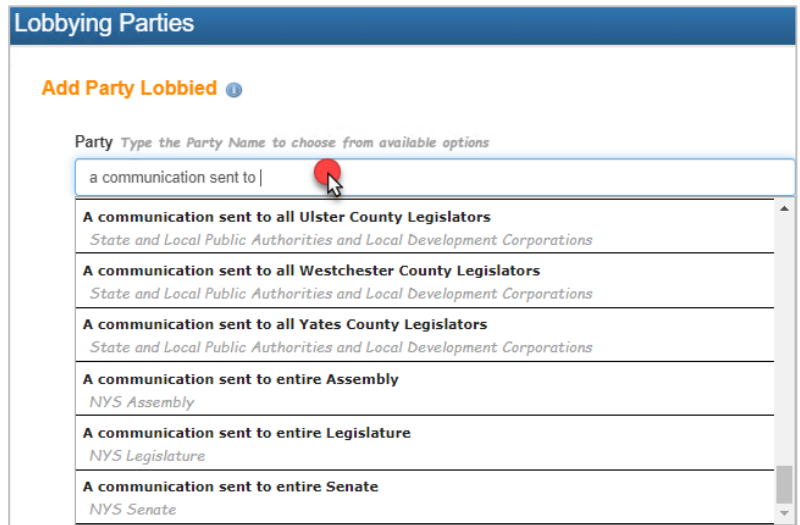
The screenshot shows a web form titled "Lobbying Parties". Under the "Selected Party" section, the "Party Name" is "Canton Consolidated Health District" and the "Gov Body" is "Consolidated Health District". Below this are two input fields: "Name or Title of Person Lobbied" (labeled with a red circle '1') and "Unit/Division/Department Lobbied (no acronyms)" (labeled with a red circle '2'). An "Add" button is located to the right of the second field. At the bottom of the form are "Process" and "Cancel" buttons. A mouse cursor is pointing at the "Process" button.

- \* Do not abbreviate information contained in the Unit, Division, or Department Lobbied column.
- **Correct:** Brooklyn Community Board 4
- **Incorrect:** Brooklyn CB4

HOW TO DISCLOSE PARTY(IES) LOBBIED – EXAMPLES OF COMMON DISCLOSURES

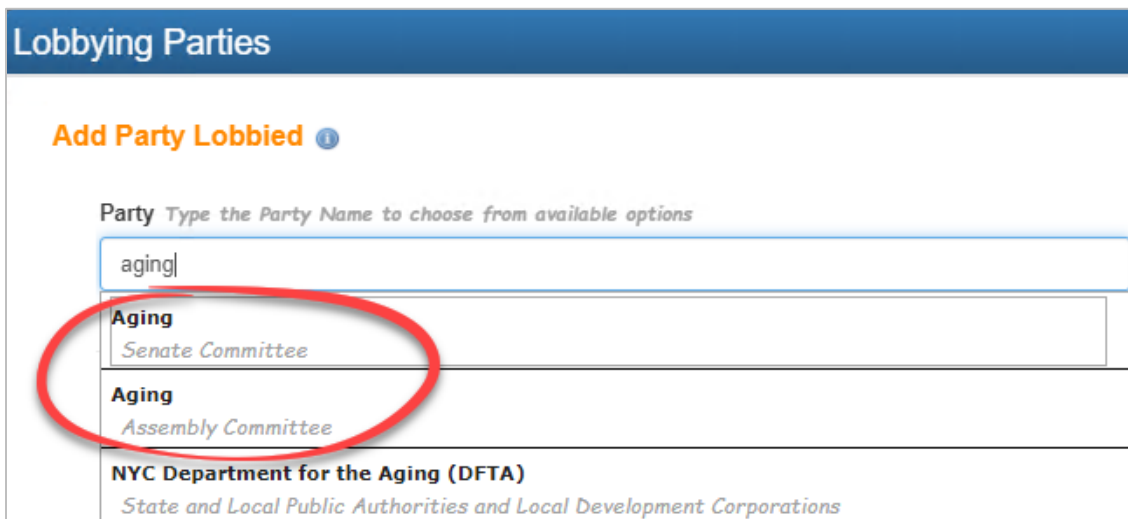
If you sent a Communication regarding a specific Focus sent to an entire group (every member of the Senate, Assembly or County Legislature)

1. Type “A communication sent to” in the ‘Party’ field
2. Select one of the following options:
  - A communication sent to entire Senate
  - A communication sent to entire Assembly
  - A communication sent to entire Legislature (includes all members of the Senate and Assembly)
  - A communication sent to an entire **specific** county Legislature (Example: Albany County Legislature)



If you lobbied every member of a Senate/Assembly Legislative Committee

1. Type the first few characters of the Committee name in the ‘Party’ search field and select the applicable Senate or Assembly Committee name from the drop-down list of search results; i.e. Aging (Senate Committee) **OR** Aging (Assembly Committee)



If you lobbied the Governor, Lieutenant Governor and/or a member of their staff

1. Type the first few characters of the name in the 'Party' field

**Example A:** If you lobbied *Governor Andrew Cuomo*:

- Type 'Cuomo' in the 'Party' search field and select his name from the drop-down list of search results.

**Add Party Lobbied**

Party Type \* for full list of parties

Cuomo
<b>Governor Andrew Cuomo</b> <i>Executive Chamber</i>
<b>Governor Andrew Cuomo, staff member</b> <i>Executive Chamber</i>

**Example B:** If you lobbied *Lieutenant Governor Kathy Hochul*:

- Type 'Hochul' in the 'Party' search field and select her name from the drop-down list of search results.

**Add Party Lobbied**

Party Type \* for full list of parties

Hochul
<b>Lt. Governor Kathy Hochul</b> <i>Executive Chamber</i>
<b>Lt. Governor Kathy Hochul, staff member</b> <i>Executive Chamber</i>

Example C: If you lobbied a *staff member* of the Governor and/or Lieutenant Governor:

- Type any of the following names in the 'Party' search field and select the applicable name from the drop-down list of search results:
  - 'Cuomo'
  - 'Hochul'
  - 'Executive'

**Add Party Lobbied**

Party Type \* for full list of parties

Cuomo
<b>Governor Andrew Cuomo</b> <i>Executive Chamber</i>
<b>Governor Andrew Cuomo, staff member</b> ←
<i>Executive Chamber</i>

**Add Party Lobbied**

Party Type \* for full list of parties

Hochul
<b>Lt. Governor Kathy Hochul</b> <i>Executive Chamber</i>
<b>Lt. Governor Kathy Hochul, staff member</b> ←
<i>Executive Chamber</i>

**Add Party Lobbied**

Party Type \* for full list of parties

Executive
<b>Executive Chamber / Staff of Office of Governor and Lt. Governor</b> ←
<i>Executive Chamber</i>



### If you lobbied a Commissioner and/or staff member of a State Agency

1. Type the first few characters of the State Agency Name in the **'Party'** search field and select the applicable Agency from the drop-down list of search results. Then click the green **'Add'** button to include the required additional information.

#### Example A: If you lobbied the Commissioner of Taxation and Finance:

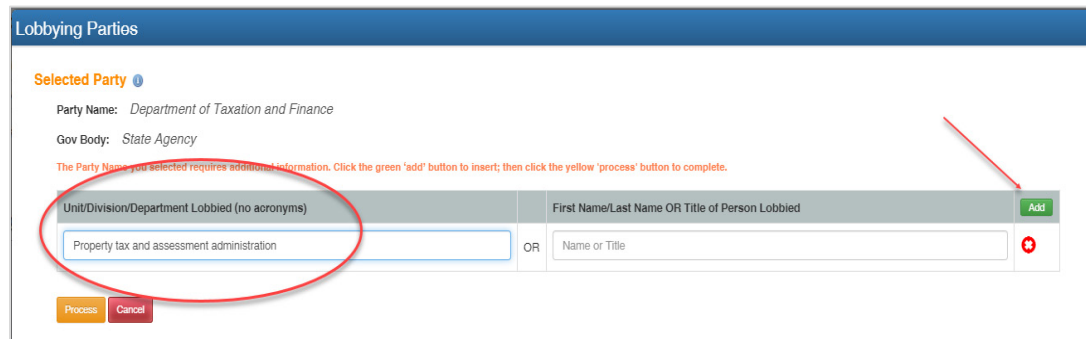
- Type **'Tax'** in the **'Party'** search field and select **'Department of Taxation and Finance'** from the drop-down list of search results.
- Select the green **'Add'** button, and enter the Commissioner's **'First/Last Name'**, **or** enter **'Commissioner'** as the Title in the applicable category field. A combination is also acceptable, such as **'Commissioner Jane Doe'**.



The screenshot shows the 'Lobbying Parties' form. The 'Selected Party' is 'Department of Taxation and Finance'. The 'Gov Body' is 'State Agency'. The 'Unit/Division/Department Lobbied (no acronyms)' field is empty. The 'First Name/Last Name OR Title of Person Lobbied' field contains 'Commissioner', which is circled in red. A red arrow points to the green 'Add' button. At the bottom are 'Process' and 'Cancel' buttons.

#### Example B: If you lobbied a staff member in a specific unit, division, or department of 'Department of Taxation and Finance', such as 'Property tax and assessment administration':

- Type **'Tax'** in the **'Party'** search field and select **'Department of Taxation and Finance'** from the drop-down list of search results.
- Select the green **'Add'** button, and enter **'Property tax and assessment administration'** in the applicable category field.



The screenshot shows the 'Lobbying Parties' form. The 'Selected Party' is 'Department of Taxation and Finance'. The 'Gov Body' is 'State Agency'. The 'Unit/Division/Department Lobbied (no acronyms)' field contains 'Property tax and assessment administration' and is circled in red. The 'First Name/Last Name OR Title of Person Lobbied' field is empty. A red arrow points to the green 'Add' button. At the bottom are 'Process' and 'Cancel' buttons.

### If you lobbied a Mayor, Town Supervisor, etc., and/or staff member of a Municipality

1. Type the first few characters of the Municipality in the 'Party' search field and select the applicable name from the drop-down list of search results. Then click the green 'Add' button to include the required additional information.

#### Example A: If you lobbied the Mayor of the City of Albany:

- Type 'Albany' in the 'Party' search field and select 'Albany, City' from the drop-down list of search results.
- Select the green 'Add' button, and enter the Mayor's *First/Last Name*, or enter 'Mayor' as the Title in the applicable category field. A combination is also acceptable, such as 'Mayor Kathy Sheehan'.

**Lobbying Parties**

**Selected Party**

Party Name: Albany  
Gov Body: City

The Party Name you selected requires additional information. Click the green 'add' button to insert; then click the yellow 'process' button to complete.

Unit/Division/Department Lobbied (no acronyms)	First Name/Last Name OR Title of Person Lobbied	Add
<input type="text" value="Unit/Division/Department"/>	OR <input type="text" value="Mayor"/>	<input type="button" value="Add"/>

#### Example B: If you lobbied a staff member of a specific unit/division/department within the City of Albany, such as the 'Department of Planning and Development':

- Type 'Albany' in the 'Party' search field and select 'Albany, City' from the drop-down list of search results.
- Select the green 'Add' button, and enter 'Department of Planning and Development' in the applicable category field.

**Lobbying Parties**

**Selected Party**

Party Name: Albany  
Gov Body: City

The Party Name you selected requires additional information. Click the green 'add' button to insert; then click the yellow 'process' button to complete.

Unit/Division/Department Lobbied (no acronyms)	First Name/Last Name OR Title of Person Lobbied	Add
<input type="text" value="Department of Planning and Development"/>	OR <input type="text" value="Name or Title"/>	<input type="button" value="Add"/>

OR

**Example C:** If you want to disclose multiple rows of ‘additional information’ related to the SAME ‘Party’ for any State or Municipal level Party:

- **Example:** You met with the Compliance Auditor, a staff person named Jane Doe, and the Audit division from the City of Albany.
- Select the green ‘Add’ button. The ‘Add’ button will need to be clicked three times to allow you to display three different rows of information.
  - A. Only the **Title** of ‘Compliance Auditor’ is disclosed.
  - B. Only the **Name** of the staff member is listed.
  - C. The **Department** of ‘Permits’ is listed.

**Lobbying Parties**

**Selected Party**

Party Name: Albany

Gov Body: City

The Party Name you selected requires additional information. Click the green 'add' button to insert; then click the yellow 'process' button to complete.

Unit/Division/Department Lobbied (no acronyms)	OR	First Name/Last Name OR Title of Person Lobbied	Add
<input type="text" value="Unit/Division/Department"/>	OR	Compliance Auditor <b>A</b>	
<input type="text" value="Unit/Division/Department"/>	OR	Jane Doe <b>B</b>	
<input type="text" value="Permits"/>	OR	Name or Title <b>C</b>	

**Common Titles and/or Units/Divisions/Boards for Cities, Villages, Towns, and Counties**

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- Aging
- Animal Control
- Assessor's Office
- Board of Elections
- Budget
- Building/Code Enforcement
- Children Youth and Families
- City Council
- City, Town or Village Clerk
- City, Town or Village Comptroller
- City, Town or Village Court
- Civil Service
- Code Enforcement
- Corporation Counsel
- Corrections
- County Executive
- County Sheriff
- District Attorney
- Economic Development
- Emergency Management
- Ethics Commission
- Finance
- Fire Coordinator
- Fire/EMS
- Fire Police
- General Manager
- Green Initiatives
- Highway
- Historian
- Housing
- Human Resources
- Immigration Services
- Mayor's Office
- Parks & Recreation
- Permits
- Pistol Permits
- Planning and Community Revitalization
- Police
- Public Works
- Purchasing
- Refuse and Recycling
- Registrar of Vital Statistics
- Senior Services
- Social Services
- Soil and Water Conservation
- Treasurer
- Veterans Services
- Water and Sewer
- Zoning Board

## HOW TO AMEND/CHANGE LOBBYING ACTIVITIES

If you need to modify existing Lobbying Activity information, you can either:

1. Select the 'red x' to delete the entire entry and select the Focus/Party Names again

The screenshot shows the 'Lobbying Focus' and 'Parties Lobbied' sections. The 'Lobbying Focus' section has a list of categories: Direct Lobbying (7) and Grassroots (6). The 'Parties Lobbied' section has a list of parties: Aging, Department of Environmental Conservation (Jane Doe - Parks), Department of Taxation and Finance (Compliance), and New York City Education Subcommittee. A 'Preview' section shows a table with 'Focuses' and 'Parties' columns. Below these sections is a table titled 'My Selected Focuses (only focuses listed below are considered part of this Filing)'. The table has columns for Type, Focus, Parties, and Communication. The first row is for 'Municipal Funding' with Focus 'J3456' and Parties 'Department of Environmental Conservation (Jane Doe - Parks), New York City Education Subcommittee, Department of Taxation and Finance (Compliance)'. The Communication is 'Both (Direct/Grassroots)'. A red 'x' icon is next to this row, with a red arrow pointing to it. The second row is for 'Municipal Permits/Licensing' with Focus 'Muni4567' and Parties 'Department of Environmental Conservation (Jane Doe - Parks)'. The Communication is 'Direct Lobbying'. The third row is for 'State Bill' with Focus 'a1234' and Parties 'New York City Education Subcommittee'. The Communication is 'Grassroots Lobbying'. The table shows 'Showing 1 to 3 of 3 entries' and has 'Previous' and 'Next' buttons.

OR

2. Re-select the specific Focus/Party Names in the corresponding sections and LA will overwrite (or replace) the information.

The screenshot shows the 'Lobbying Focus' and 'Parties Lobbied' sections. The 'Lobbying Focus' section has a list of categories: Direct Lobbying (7) and Grassroots (6). The 'Parties Lobbied' section has a list of parties: New York City Education Subcommittee, Department of Environmental Conservation (Jane Doe - Parks), Department of Taxation and Finance (Compliance), and Aging. Red circles with numbers 1, 2, and 3 are placed over the 'Muni4567' checkbox in the 'Lobbying Focus' section, the 'Department of Environmental Conservation (Jane Doe - Parks)' checkbox in the 'Parties Lobbied' section, and the 'Add' button in the 'Preview' section, respectively. Below these sections is a table titled 'My Selected Focuses (only focuses listed below are considered part of this Filing)'. The table has columns for Type, Focus, Parties, and Communication. The first row is for 'Municipal Funding' with Focus 'J3456' and Parties 'Department of Environmental Conservation (Jane Doe - Parks), New York City Education Subcommittee, Department of Taxation and Finance (Compliance)'. The Communication is 'Both (Direct/Grassroots)'. The second row is for 'Municipal Permits/Licensing' with Focus 'Muni4567' and Parties 'Department of Environmental Conservation (Jane Doe - Parks)'. The Communication is 'Direct Lobbying'. A red arrow points to the 'Department of Environmental Conservation (Jane Doe - Parks)' party name in this row, with the text 'Focus that will be updated' next to it. Below this table is another table titled 'My Selected Focuses (only focuses listed below are considered part of this Filing)'. The table has columns for Type, Focus, Parties, and Communication. The first row is for 'Municipal Funding' with Focus 'J3456' and Parties 'Department of Environmental Conservation (Jane Doe - Parks), New York City Education Subcommittee, Department of Taxation and Finance (Compliance)'. The Communication is 'Both (Direct/Grassroots)'. The second row is for 'Municipal Permits/Licensing' with Focus 'Muni4567' and Parties 'Department of Environmental Conservation (Jane Doe - Parks), Department of Taxation and Finance (Compliance)'. A red arrow points to the 'Department of Taxation and Finance (Compliance)' party name in this row, with the text 'New Info added' next to it.

### QUESTIONS?

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Contact the JCOPE Helpdesk at [helpdesk@jcope.ny.gov](mailto:helpdesk@jcope.ny.gov) or by phone at 518-474-3973 for technical assistance on how to either disclose a Lobbying Activity or amend your filing in the JCOPE Lobbying Application.

#### For questions related to:

- the Lobbyist Statement of Registration – email us at [registrations@jcope.ny.gov](mailto:registrations@jcope.ny.gov)
- the Bi-monthly and Disbursement of Public Monies Reports – email us at [bimonthlies@jcope.ny.gov](mailto:bimonthlies@jcope.ny.gov)
- the Client Semi-Annual Report and Source of Funding – email us at [CSA@jcope.ny.gov](mailto:CSA@jcope.ny.gov)
- the Reportable Business Relationship Report – email us at [discrepancies@jcope.ny.gov](mailto:discrepancies@jcope.ny.gov)

To speak to the JCOPE Attorney of the Day for guidance on whether a *specific lobbying activity* needs to be disclosed on a filing email them at [legal@jcope.ny.gov](mailto:legal@jcope.ny.gov) or call the JCOPE Hotline at phone at 1-800-87-ETHICS (873-8442) and press '2'.