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Oregon Secretary of State

Campaign Finance Subsystem

**Filing Campaign Finance Transactions
via File Upload Process**

Version 1.0

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Definitions

Upload: The process of selecting a file containing contact and transaction information to be loaded into the system for processing. Information loaded into the system is not public record until it is filed with the Secretary of State.

Filed: The process of attesting and filing transactions with the Secretary of State. Once transactions are filed they are public record.

XML: XML stands for Extensible Markup Language and is a simple, flexible text formatted file that is used for Electronic Data Interchange.

Filing Process

Upload File for Processing

An authorized user logs into the system and selects the file to be uploaded for processing.

Review Validations

The uploaded data is validated by the system. The filer reviews the validation report and makes any corrections necessary to file the transactions.

File Transactions

When the committee is ready to file the transactions, the candidate or treasurer logs into the system, selects the appropriate transactions and files them. The filing process includes an attestation by the candidate or treasurer. Once transactions are filed they are public record.

SOS Review

The Secretary of State reviews the filed transactions for sufficiency and sends the filer the results of the review.

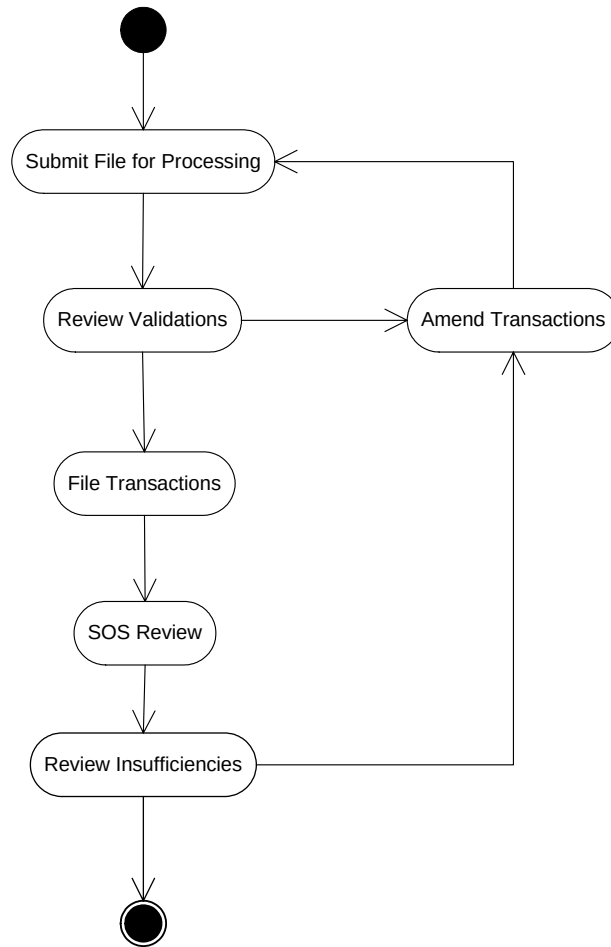
Review Insufficiencies

The filer reviews any insufficiencies identified by the Secretary of State and amends the transactions.

Amend Transactions

The filer may amend a previously submitted transaction at any time.

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Upload Rules

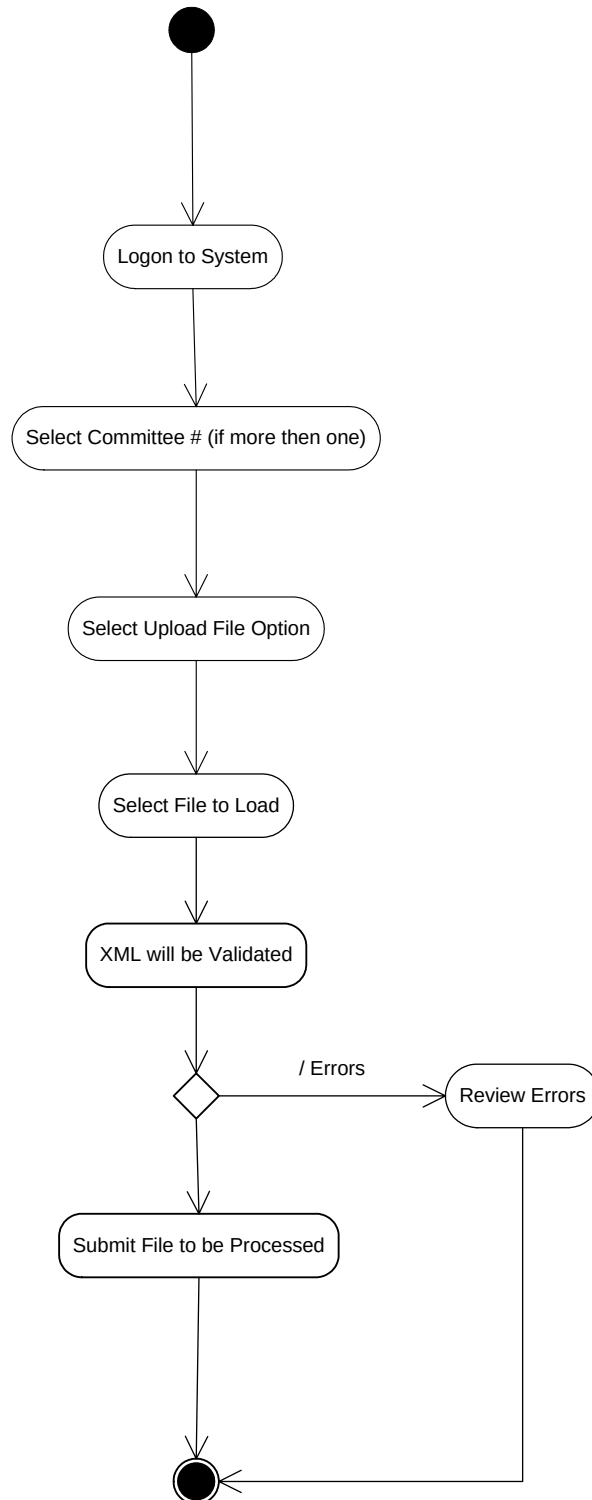
- The file must be formatted utilizing the XML format published by the Secretary of State.
- All transactions and contacts must be assigned a unique ID by the filer.
- A candidate, treasurer or authorized person may upload a file of transactions to be processed.
- The candidate or treasurer must file the transactions with the Secretary of State. The filing process includes an attestation by the candidate or treasurer.
- A transaction that is submitted without the minimum required information will be assigned an Error status and must be fixed prior to being filed.
- A contact that has already been filed does not need to be filed again unless their information needs to be updated.
- If contact information is filed for a contact that already exists in the system, the system will compare the new contact information with the existing contact information and update where appropriate. If no updates are performed the record will be ignored.

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Upload Instructions

1. Logon to the Elections Management System.
2. A user with access to multiple committees will need to select the committee they wish to upload a file for.
3. Click on the Upload File button.
4. Select the file to be uploaded for processing.
5. The system will validate the format of the file.
6. If the file passes validation the user will be prompted with a Submit button.
7. If the file fails validation the user will be prompted with the errors identified.
8. When the file processing is complete, notification will be sent to the filer via e-mail.

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Processing

Once a file has successfully been submitted for processing it will be loaded into the system and validated. Once validation is complete a report will be sent by e-mail to the filer and saved to the system for review. The filer then has the option of correcting any validation errors and reloading the corrected file or filing the transactions.

There are two levels of validation that will happen during this process. First the XML file will be validated. The XML validation will look at the syntax and file layout to make sure that it matches the file format standards and contains the minimum required information. The XML file must be valid before the file can be loaded into the system. This validation is performed immediately after the user selects the file to be uploaded.

The second level of validation will happen after the file has been uploaded into the system. This validation is a preliminary exam of the information and will check to make sure that information required by statute or administrative rule is supplied.

Specific validations may or may not stop a user from filing a transaction. If a transaction is submitted that does not have the minimal required information in order to file it will have the status of Validated/Error. A transaction that has possible insufficiencies but meets the minimum requirements for filing will have the status of Validated/Warnings.

Transaction Processing Validation Rules

Some examples of transaction validation rules are:

1. Transaction date cannot be null.
2. Transaction date cannot be a date in the future.
3. Transaction must have a unique ID unless identified as an amendment.
4. If the transaction is identified as an amendment, the transaction it is amending must exist on the system.
5. Transaction sub type must be associated with the correct transaction type.
6. The amount of the transaction must be a positive number.
7. A loan transaction (exempt loan received, non-exempt loan received or cash expenditure with a purpose of "loan extended") should include the interest rate and repayment schedule.
8. If the payment method for a cash expenditure or other disbursement is check, the check number should be supplied.
9. Certain transactions should have a purpose.
10. Certain transactions should have a description.
11. If a loan transaction includes a cosigner, validate contact and amount. Amount associated with cosigner cannot be greater than the amount of the loan transaction.
12. If a contribution is received that may have a pledge associated with it the system will look for pledge transactions that may need to be associated with the transaction.
13. An in-kind/forgiven account payable transaction should be associated with the account payable transaction being forgiven.

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14. A loan payment (non-exempt) transaction should be associated with the appropriate loan received (non-exempt) transaction.
15. A loan payment (exempt) transaction should be associated with the appropriate loan received (exempt) transaction.
16. A cash expenditure that is payment of a previously reported accounts payable transaction should be associated with the account payable transaction.
17. An account payable rescinded transaction should be associated with the account payable transaction being rescinded.
18. A non-exempt loan forgiven transaction should be associated with the non-exempt loan received transaction being forgiven.
19. An uncollectible pledge (UIP, UCP, ULP) transaction should be associated with the pledge transaction that has been determined to be uncollectible.
20. A return or refund of contribution transaction must be associated with the contribution transaction that is being returned or refunded.
21. A lost or returned check transaction must be associated with a cash expenditure or other disbursement made by check that is lost or has been returned.
22. If an expenditure is an in-kind contribution to another committee, the amount attributable to the benefiting committees cannot exceed the transaction amount.

Contact Processing Validation Rules

Some examples of contact validation rules are:

1. A contact must have a valid type.
2. The name that is supplied must match the contact type.
 - If Business Entity, Labor Organization or Other, the Business/Organization Name must to be supplied.
 - If Political Committee or Political Party Committee, a Committee Name or Committee ID must be supplied.
 - If an Individual or Candidate's Immediate Family, the First Name and Last Name of the individual must be supplied.
3. The appropriate address fields should be supplied.
 - If the contact is a contributor and their calendar year contribution aggregate exceeds \$100, Street1, City, State and Zip should be supplied.
 - If the contact is a payee and total payments to that payee exceed \$100 during a calendar year, the city, or county if no city, and state where the payee is located should be supplied.
4. Phone numbers should be composed of a minimum of 10 numbers. Phone numbers can be submitted with or without formatting.
5. A valid occupation should be supplied for individual contributors (type codes I and F) whose calendar year aggregate contributions exceed \$100.
6. A valid Employer's Name, City and State should be supplied for individual contributors (type codes I and F) whose calendar year aggregate contributions exceed \$100, unless the contributor is identified as self-employed or not employed.