



ELECTRONIC SUBMISSION OF CAMPAIGN DOCUMENTATION

You may submit campaign documentation for disclosure statement filings (except contribution backup documentation) or in response to the CFB's audit and enforcement requests through an electronically scanned submission. Electronic submission of documentation is not mandatory, so your campaign may continue to submit copies of documentation by mail or hand-delivery to the CFB.

This document explains how to scan, organize, and electronically submit your campaign documentation. These requirements ensure sufficient document quality, organization, and security, and allow the CFB to upload and review these documents once they arrive.

GETTING STARTED

Q: What are the technical requirements for scanning documentation?

A: To scan and submit documentation electronically, you must:

- ✦ Use a scanner that can scan at a minimum 300 d.p.i. resolution. You should be able to determine the resolution through your scanner's software settings during the scanning process. Check your scanner's user guide or contact the manufacturer.
- ✦ Save your documentation as PDFs. If you want to use any other format, you must first consult your Candidate Services (CSU) liaison.

Q: Do I need to scan my documents in color?

A: No. Scan your documents in black and white, which results in smaller file sizes that are easier to save and share.

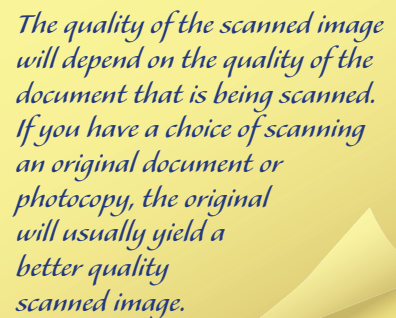
Q: What is the maximum file size for each PDF?

A: PDFs cannot be larger than 24MB. **It is recommended you limit each PDF to 100 pages.**

Q: Does each scanned document need a C-SMART transaction ID number?

A: Any documentation associated with transactions individually entered in C-SMART must have the C-SMART transaction ID clearly written on the document **before** scanning. If you have several pages of documentation pertaining to the same transaction (e.g., lease agreements), write the C-SMART transaction ID on each page and make sure you scan the pages together in the same PDF.

Documents that do not pertain to specific transactions (e.g., bank statements, deposit slips) do not need transaction IDs.



The quality of the scanned image will depend on the quality of the document that is being scanned. If you have a choice of scanning an original document or photocopy, the original will usually yield a better quality scanned image.

Q: How should I scan the documentation?

A: Scan the documentation following the three steps listed below:

1. Check your submission to make sure you included every requested item and the C-SMART transaction IDs are written on each piece of transaction-based documentation.
2. Place documents on the scanner bed or feeder facing the same direction so that the orientation of all images in a particular file is facing in the same direction (either portrait or landscape). In other words, when a file is opened the pages should not need to be rotated in order to view the image.
3. Scan the documents and save the file in your chosen location. In most cases, you should be able to scan an entire response into a single PDF. However, you may also scan your documentation in batches so each batch is a single PDF.

Q: What should I name my scanned files?

A: You should name your scanned files using obvious identifiers such as the election cycle, candidate name, and type of submission.

If your response contains more than one file, the file name should indicate whether the file is 1 of 2, 1 of 3, etc. (e.g. 2013 Rosario DAR Response 2 of 3).



COMPLIANCE ALERT

Check the scanned documentation before submission. If your response is not readable, identifiable, or if transaction ID number(s) are missing or cut off, the CFB will reject your submission.

ORGANIZING YOUR RESPONSE

Bank Records & Disclosure Statement Documentation

Besides contribution backup documentation for any matching claims (which must be uploaded directly into C-SMART), your campaign is required to provide the following documents covering the period for each disclosure statement filing:


- Bank Statements (be sure to provide all pages, even if they are blank)
- Itemized Deposit Slips
- Merchant Account Statements (if accepting credit card contributions via any platform other than NYC Votes Contribute)
- Credit Card Statements (if using a credit card to make campaign expenditures)
- Loan Documentation
- List of fundraising agents

Q: How should I assemble the documentation for each disclosure statement filing?

A: Follow the steps listed below:

1. Create a folder on your computer's C:\drive and name it as follows: [Election Cycle] [Candidate ID] [Candidate Last Name] Disclosure Statement [Number] Documentation.

The folder that you share with the CFB should resemble the illustration below:

 2017 1389 Rosario Disclosure Statement 6 Documentation

2. Scan and save your documentation in the designated folder.

Statement Reviews

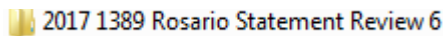
A Statement Review is issued after the CFB reviews each pre-election disclosure statement, and it details preliminary findings of non-compliance. Your response to the Statement Review likely will include amendments to previously filed disclosure statements and scanned copies of the Invalid Matching Claims (IMC) Report (if you wish to qualify for public matching funds), Statement Review Reports (e.g., prohibited contributions, over-the-limit contributions), and supporting documentation.

Q: How should I assemble documentation for the Statement Review response?

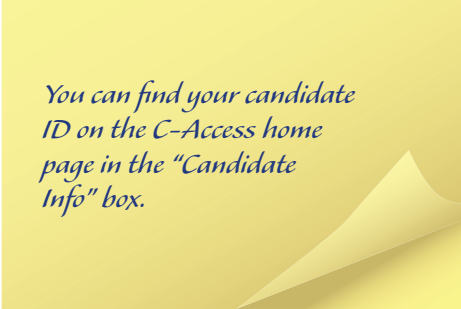
A: Follow the steps listed below:

1. Create a folder on your computer's **C:\ drive** and name it as follows: **[Election Cycle] [Candidate ID] [Candidate Last Name] Statement Review [Number]**.

The folder that you share with the CFB should resemble the illustration below:



2017 1389 Rosario Statement Review 6



You can find your candidate ID on the C-Access home page in the "Candidate Info" box.

2. Scan and save your response in the designated folder. When scanning your response, the first page should be the **Statement Review Checklist and Verification Statement**, followed by all report pages (in order), and then accompanying documentation.

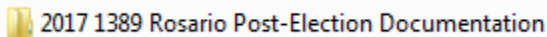
Post-Election Documentation Request

After the primary or general election, the CFB will send a request for specific documentation to allow the CFB staff to conduct your campaign's post-election audit. A detailed list by document type is included in the request.

Q: How should I assemble documentation in response to the Post-Election Documentation Request?

A: Follow the steps listed below:

1. Create a folder on your **C:\ drive** and name it as follows: **[Election Cycle] [Candidate ID] [Candidate Last Name] Post-Election Documentation**. The folder that you share with the CFB should resemble the illustration below:



2017 1389 Rosario Post-Election Documentation

2. Scan and save your documentation in the designated folder. When scanning your response, the first page should be the **Post-Election Documentation Request Checklist and Verification Statement**. For each document type, please scan the specific documentation request cover sheet first, followed by all corresponding documentation.

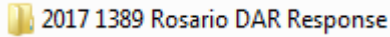
Draft Audit Report Response

After a post-election review of your disclosure statements and documentation, your campaign will receive a Draft Audit Report (DAR) summarizing preliminary findings of non-compliance. Your campaign will respond to the DAR by amending disclosure statements and submitting supporting documentation and/or narrative explanations for each finding.

Q: How should I assemble documentation in response to the DAR?

A: Follow the steps listed below:

1. Create a folder on your C:\ drive and name it as follows: **[Election Cycle] [Candidate ID] [Candidate Last Name] DAR Response**. The folder that you share with the CFB should resemble the illustration below:



2. Scan and save your response in the designated folder. When scanning your response, the provided separator sheets labeled **DAR Response Finding #_** must precede each group of relevant narrative and/or supporting documentation. Your submission should be arranged in finding number order.

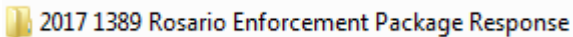
Enforcement Package

Based on the review of your Draft Audit Report response, your campaign may receive an Enforcement Package. The Enforcement Package consists of a Notice of Alleged Violations and Recommended Penalties (“Penalty Notice”) detailing recommended penalties for alleged violations of the Campaign Finance Act and Board Rules, and/or the Post-Election Public Funds Calculation Notice (“Public Funds Notice”) detailing whether the campaign must repay public funds or if it is eligible to receive additional public funds. Your campaign’s response will consist of the Notice Response Form indicating whether you are contesting the recommendations, and any narrative and/or supporting documentation.

Q: How should I assemble documentation in response to the Enforcement Package?

A: Follow the steps listed below:

1. Create a folder on your C:\ drive and name it as follows: **[Election Cycle] [Candidate ID] [Candidate Last Name] Enforcement Package Response**. The folder that you share with the CFB should resemble the illustration below:



2. Scan and save your response in the designated folder. Remember to include the following in your response:
 - Notice Response Form signed by the candidate **and** treasurer
 - Response to the Penalty Notice
 - Response to the Public Funds Notice



COMPLIANCE ALERT

For all of your responses, make sure you name your folders following the naming conventions found in this document. These are necessary for the CFB to identify the candidate and process the response.

SUBMISSION

Q: How do I electronically submit documentation?

A: Campaigns with Google Drive accounts may upload and share documentation with the CFB directly. Creating a Google Drive account is easy, and you do not need a Gmail account to access Google Drive. Click [here](#) to learn more about Google Drive and for instructions on creating an account.



REMINDER

If you made changes to your data in C-SMART, you also must submit C-SMART amendments.

Disclaimer: By using Google Drive, you agree to Google’s [terms of service](#) and [privacy policies](#).

Q: How can I submit my documentation using Google Drive?

A: Campaigns may upload and share documentation with the CFB by following the step-by-step instructions listed below:

Step 1: Go to drive.google.com and log-in to your Google account.

Recommendation: Make sure the email address associated with the account is the candidate's, treasurer's, committee's, or other campaign staff listed on your Filer Registration or Certification. This allows the CFB to confirm that the submission is coming from an authorized campaign representative. Check your Campaign Profile in [C-Access](#) to see the names and email addresses of campaign staff disclosed to the CFB.

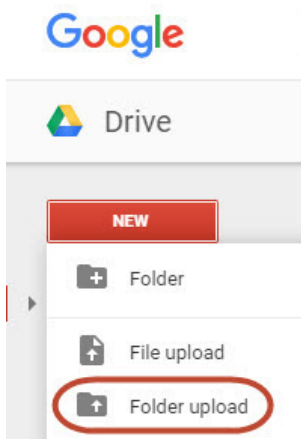


COMPLIANCE ALERT

Before submitting your documentation to the CFB, make sure there are transaction ID numbers on your documentation. After you are finished scanning, click on every file to make sure each can be opened and is legible.

Step 2: Click **New** in the top left. Select **Folder upload**.

- ✦ Select the intended folder from its location in your C:\ **drive** or other location on your computer.



Google Chrome automatically allows users to upload folders with this step. Internet Explorer and Firefox users must download the Java applet to enable folder uploads.

Step 3: To share your folder with the CFB:

- ✦ Right click on the folder and select **Share**.
- OR
- ✦ Select the folder and click the **Share** button in the tool bar in the upper right.

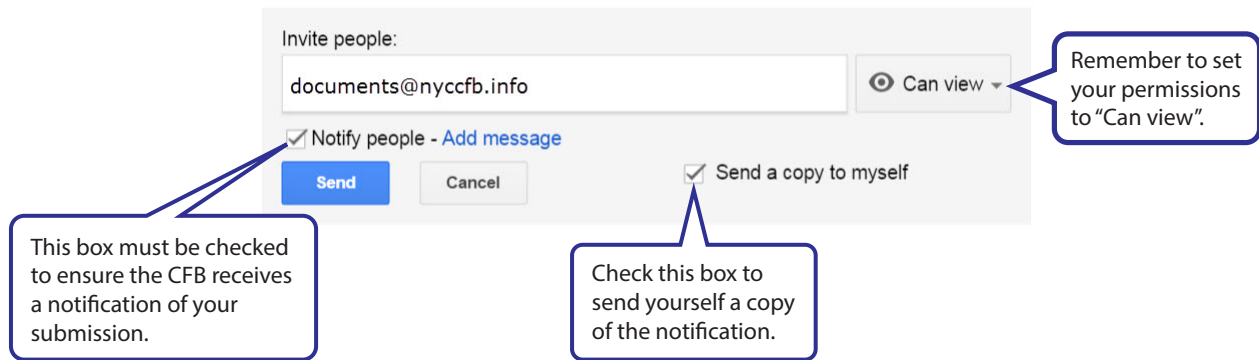
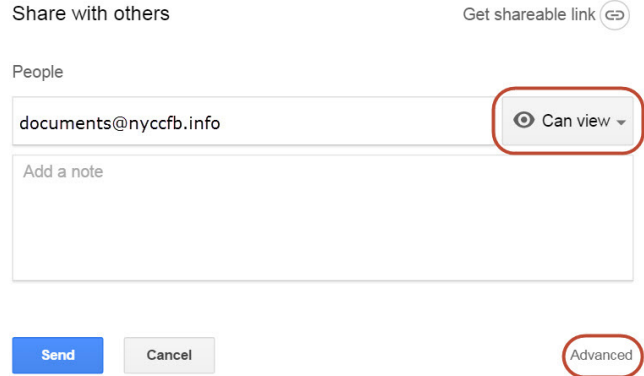


COMPLIANCE ALERT

Responses submitted using Google Drive must be submitted to the CFB through a single share on or before the due date in order to be considered complete and timely.

When the "Share with others" window appears:

- ❖ Type documents@nyccfb.info under "People". Change the permissions on the right from **Can edit** to **Can view**, then click "Advanced" to bring up the "Sharing Settings" window. The CFB cannot access or see your documentation unless **Notify people** is checked. You should also click **Send a copy to myself** to get a copy of the share notification you sent to the CFB.



Only when you have clicked **Send** will the CFB have access to your shared files, which will then be considered part of your response.

Q: What is Google Drive's storage capacity?

A: The first 15GB of storage is available free of charge. Check your settings to see how much free space you have left in your Google Drive account.

Q: Can I scan my documentation and email it to the CFB?

A: No. The CFB is not able to accommodate email submission of documentation in a manner that would ensure the security and complete submission of files.

Q: What should I do with the folders I created on my computer?

A: Back up your folders to an external source in case something happens to your computer, and always keep your original documents.

Q: How do I know if the CFB received my Google Drive submission?

A: The Candidate Services Unit will send an email upon receipt of your submission. If you do not hear from us within a reasonable amount of time, please contact your CSU liaison at 212-409-1800 or CSUmail@nyccfb.info.



COMPLIANCE ALERT

If you are submitting a response to more than one request on the same date, ensure they are shared in separate folders in Google Drive.



COMPLIANCE ALERT

In the unlikely event you forget to include a piece of documentation in the folder you just shared with the CFB, immediately contact your CSU liaison for further guidance.
Do not add or remove files to the folder after sharing it with the CFB.