Alabama Campaign Finance System
Electronic Data Interchange
Spreadsheet Reporting (Excel) & Tab-delimited
File Specification

Version 4.1

Dated 06/12/2017

Alabama Secretary of State

Effective
May 1, 2013

History of Changes

Version	Date	Description of Change
1.0	02/15/2013	Original release of Albama Campaign Finance EDI Spreadsheet reporting Specification
2.0	06/18/2013	Updated element names. Sample Template not changed
3.0	08/27/2013	Added three exPayeeTypes – Lending Instituiton, PAC, Other. PAC to PAC Contribution & Receipt are not valid. PAC to PAC Expenditures are not valid. Candidate Expenditure to a PAC is not valid. Added new exPurpose of Charitable Contribution valid for Principal Campaign Committees only.
4.0	01/19/2015	Added additional information to Contribution, Receipt and Expenditure Notes Sections. Re: Requirments for "Non-Itemized" entries.
4.1	6/12/2017	Added two (2) new expenditure types, Itemized Line of Credit Expenditure and Non-Itemized Line of Credit Expenditure and one (1) new Purpose of Expenditure, Interest. Updated Document to include information for Tab-delimited Files.

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Overview

This document details how to build a Campaign Finance report data file using an Excel spreadsheet or Tab-delimited files in order to submit campaign finance data using Electronic Data Interchange (EDI) to the Office of the Alabama Secretary of State. This document is written for committees and vendors who wish to create an excel spreadsheet or Tab-delimited files for submission of contribution and expenditures data electronically with the Secretary of State without having to re-type the information into the Alabama Campaign Finance web application. EDI is used for ADDING transactions only. Updates and Deletes of transactions must be completed using the Alabama FPCA web application.

With each of the line items submitted (contributions, receipts and expenditures), it is required that you include an external reference ID, the alphanumeric identifier your system attaches to each line item. It needs to be a unique ID in your system and the value must be unique for each transaction submitted. The Alabama Campaign Finance system error reports will use this reference ID to match an error to a specific line item within your data file. In addition, the reference ID enables the system to detect and avoid adding duplicate records in the event duplicate reference IDs are included in more than one file upload, or a file is inadvertently uploaded twice.

You are also encouraged to use a similar type of unique identifier for your contributors and your expenditure payees. This will enable the Alabama Campaign Finance System data validation process to be more accurate and ultimately be more helpful to you.

Imported Files

What does the import file contain?

You will be electronically submitting only the line item records of contributions, receipts and expenditures. Summary totals are not included. The system calculates your summary totals for you, based on the line items submitted. This is done at the time you log into the system to file your final report for a reporting period.

When can files be imported?

These items (your contributions, receipts and expenditures) can be submitted at any time during your current reporting period. You may choose to submit all at one time, or submit items periodically during your current reporting period. **NOTE: Items submitted (imported), but not yet filed, are only viewable by the committee submitting the items and the Secretary of State’s campaign finance staff. The items are not viewable by the public until filed by your committee.**

How do the reported items get filed?

When you are ready to file the report for a reporting period, you will need to log into the Alabama Campaing Finance System and go to either the Committee Overview page or the File Reports tab. At the time you file your report, the system will create a filing report dynamically and calculate all totals based on the items you have submitted electronically or entered online. You will be able to preview the report before final filing submission.

What is the format of the import file?

An import file may contain any combination of contributions, other receipts and expenditures. There are three (3) different files the system can accept, XML, Excel or Tab-delimited files. This document includes instructions for Excel and Tab-delimited files. Instructions for the XML file import process are included in a separate file specification document.

Excel File: The Excel file must consist of an Excel spreadsheet with the 5 worksheets.

Tab-delimited Files: When using the Tab-delimited File option, up to five different tab-delimited files can be used for the import process. Each of these files correspond to one of the worksheets in the Excel file format used for import, with each requiring the same data in the same sequence. The minimum requirement for files to be included in the tab-delimited import process is two (2). The control file and at least one of the three transaction files (Contributions, Other Reciepts, or Expenditures). The maximum allowed is one file of each of the five types. (Control, Contribution, Other Receipt, Expenditures, Loan Guarantor)

Can a committee undo a submitted file?

It is possible to undo an entire submitted file. Line items from that imported file will be deleted from the database as long as the item has not been included on a filed report.

If individual items need to be bypassed for the above reasons, and do not get automatically removed, you will need to log into the Alabama Campaign Finance system and delete them individually.

Data Types

This section describes the data types acceptable to the Alabama Campaign Finance system import program.

- Char(n). This is a character field. Any field listed as character can have any alphanumeric information as well as punctuation. Maximum lengths are in parenthesis. Please be aware that use of lowercase alpha information will be converted to uppercase alpha information. Note that this field cannot have the backslash (\) character or any line feed characters such as a Return.

- Integer. Only digits are allowed in this type of field.

- Date. Please format all user entered dates as MM/DD/YYYY.

- DateTime. Please format all user entered datetimes as MM/DD/YYYY HH:MM:SS.

- Money. A positive currency amount, which should be specified without a dollar sign. The decimal is optional for whole dollars. If there is a decimal, there should always be at least one digit to the left of the decimal, even if the amount is a fraction of a dollar (this is the only case in which leading zeros are advocated). Valid examples: 5.01, 0.25, 25.7, 43. Invalid examples: 3.731, $5.25, .75.

File Naming

There are no specific file naming requirements to submit your data using an Excel spreadsheet or Tab-delimited files; however it is critical when using the Excel spreadsheet the worksheet names match the descriptions below. The file extension of the file must be .xls or .xlsx.

For Excel: There are five worksheets that can be produced for submitting information. The five worksheets are:

- control - Contains authentication information. There is one record only in this file.
- contribution - Contains contributions (both cash and in-kind)
- receipts – Contains receipts (loans, interest and other sources of income).
- lnguarantor – Contains individual receipt endorser/guarantor's information for Loans (Receipts from Other Sources). Data in this worksheet is optional when a receipt exists with a receipt type of Loan.
- expenditure – Contains expenditures.

Spreadsheet Record Occurrences

The five worksheets have the following numbers of records:

Worksheet Name	Number Records (Lines)
control	1
contribution	0 to many
receipt	0 to many
lnguarantor	0 to many
expenditure	0 to many

Each worksheet has a set of columns with column headers. <u>It is imperative that the column heading names not be changed</u>. Each column header has comments that describes the data characteristics for the column, including whether the data is Required, Conditionally Required (Required If) or Optional.

If a particular worksheet does not have data to be uploaded, <u>the worksheet is to remain in the spreadsheet without data.</u>

<u>For Tab-delimited</u>: There will be up to five (5) different tab-delimited files that will be used for the import process. Each of these files corresponds to one of the worksheets in the Excel file format used for import, with each requiring the same data and in the same sequence. File types are:

Control

- *Contains one row with the committee ID, name, file create date/time, and a description.*
- *Each import must have a Control file.*

Contribution

- *Contains multiple rows, one per contribution*.

Other Receipts

- *Conatins multiple rows, one per receipt.*

Expenditures

- *Contains multiple rows, one per expenditure.*

Loan Guarantor

- *Contains multiple rows, one per loan guarantor(endorser).*
- *The guarantors will each be related to loans included in the Other Receipts file. IF a Loan Guarantor file is included, an Other Receipts file must also be included in the same import.*

Overview/Legend to Tables

In the following tables, in the ‘Format’ column for each Column Data Element, please pay attention to ‘not null’. If a field is designated as ‘not null’, that field is required and must have a value. The omission of values for ‘not null’ fields will be cause for data rejection.

The ‘Description’ column and any ‘Notes’ following an element table indicates which items are required and which items use Code Table values.

Worksheets and Files

The control Worksheet or Tab-delimited file

Column	Format	Description
committeeId	char(11) not null	This is your committee ID assigned by the SOS. The committee ID in the control worksheet must match the committee that is logged in at the time the upload is submitted. Required.
committeeName	char(100) not null	Committee full name. Required.
fileCreateDateTime	dateTime not null	Date file was created, time in 24 hour notation. Format mm/dd/yyyy hh:mm:ss. Required.
description	char(100) not null	Description of this upload file. The description is used to identify the upload file in the email confirmation sent back to the filer, as well as in the Campaign Finance Imported File History grid. It can be any text meaningful to you to help identify an individual upload file.

The contribution Worksheet or Tab-delimited file

Column	Format	Description
contributionId	char(30) not null	This is your committee's unique external reference ID for this contribution record. Each contribution record must have its own unique identification number. Required.
cbContributionType	char(2) not null	See Code Table section for valid values. Required.
cbDate	date not null	Contribution date – date contributed to committee. Required.
cbAmount	money not null	Contribution amount. Must be a valid dollar amount greater than 0.00. Required.
cbAccountNumber	char(50)	Optional account or reference number for your committee's use only.
cbInKindNature	Char(2)	Nature of In-Kind Contribution. See Code Table section for valid values. Required if Contribution Type = In-Kind (Itemized)

Column	**Format**	**Description**
cbContributorId	char(30)	This is your optional external ID for the contributor. It is **highly recommended** you use this to uniquely identify your contributors. The external ID you assign this contributor will be used each time this contributor contributes to your committee. This will reduce the possibility of having duplicate contributor records for the same contributor. *If a contributor (payor)also happens to be a source(payor) on any receipt records or a payee on any expenditures records, you should use the same ID for all instances.*
cbContributionSource	char(2) not null	See Code Table section for valid values Required.
cbReturn	char(1)	Optional Blank or 0 = No 1 = Yes (this item is a “Return”)
cbOrgName	char(100)	The Organization name if the contributor is not an individual. Required if the contribution is not from an individual.
cbFirstName	char(100)	The contributor’s first name if the contributor is an individual. See Notes for when required.
cbMiddleName	char(100)	The contributor’s middle name if the contributor is an individual. Optional.
cbLastName	char(100)	The contributor’s last name if the contributor is an individual. See Notes for when required.
cbNameSuffix	char(02)	The contributor’s name suffix. Optional. See Code Table section for valid values
cbAddress	char(50)	Contributor address. See Notes for when required.
cbCity	char(30)	Contributor city. See Notes for when required.

Column	Format	Description
cbState	char(2)	Contributor state abbreviation. See Notes for when required.
cbZip	char(5)	Contributor zip code. See Notes for when required.

CONTRIBUTION NOTES:

cbContributorId: This is your external reference ID for the contributor. This is optional but **highly recommended** to uniquely identify your contributors. It allows for more thorough validation, because the system can use it to identify prior contributions from the same contributor. *If a contributor (payor) also happens to be a source (payor) on any receipt records or a payee on any expenditures records, you should use the same ID in all instances.* This will reduce the chance that duplicate contact records (payor/payee) will be created.

cbFirstName, cbLastName, cbAddress, cbCity, cbState and cbZip: Total contributions from a single source that exceed $100.00 must be itemized. When the cbContributionType is Cash Itemized or In-Kind Itemized the contributor's name and address must be provided.

cbContribtuionSource – PAC to PAC contributions are not valid.

Non-Itemized Contributions:
When cbContributionType = 02 Cash (Non-Itemized), 03 Non-Itemized Employee Payroll Contribution, or 05 In-Kind (Non-Itemized) the only data required is cbContributionID, cbContributionType, cbDate, and cbAmount. All other data if entered will be ignored.

The receipt Worksheet or Tab-delimited file

Column	Format	Description
receiptId	char(30) not null	This is your committee's unique external reference ID for this receipt record. Each receipt record must have its own unique identification number. Required.
reReceiptType	char(2) not null	See Code Table section for valid values. Required.
reDate	date not null	Receipt date – date contributed to committee. Required.
reAmount	money not null	Receipt amount. Must be a valid dollar amount greater than 0.00. Required.
reAccountNumber	char(50)	Optional account or reference number for your committee's use only.
reReceiptSource	char(2) not null	See Code Table section for valid values. Requried.
reSourceId	char(30)	This is your optional external ID for the receipt source. It is **highly recommended** you use this to uniquely identify your sources. The external ID you assign this source will be used each time this source contributes to your committee. This will reduce the possibility of having duplicate receipt source records for the same source. *If a receipt source (payor) also happens to be a contributor (payor) on any contribution records or a payee on any expenditure records, you should use the same ID for all instances.*
rerOrgName	char(100)	The Organization name if the receipt source is not an individual. Required if the receipt is not from an individual.
reSourceFName	char(100)	The source's first name if the source is an individual. See Notes for when required.
reSourceMName	char(100)	The source's middle name if the source is an individual. Optional.
reSourceLName	char(100)	The source's last name if thesourcer is an individual. See Notes for when required.

Column	Format	Description
reSourceNameSuffix	char(02)	The source's name suffix. Optional. See Code Table section for valid values
reSourceAddress	char(50)	Source address. See Notes for when required.
reSourceCity	char(30)	Source city. See Notes for when required.
reSourceState	char(2)	Source state abbreviation. See Notes for when required.
reSourceZip	char(5)	Source zip code. See Notes for when required.

RECEIPT NOTES:

reSourceId: This is your external reference ID for the receipt payor (source). This is optional but **highly recommended** to uniquely identify your payors. It allows for more thorough validation, because the system can use it to identify prior receipts from the same source (payor). <u>*If a receipt source (payor) also happens to be a contributor (payor) on any contribution records or a payee on any expenditures records, you should use the same ID in all instances.*</u> This will reduce the chance that duplicate contact records (payor/payee) will be created.

reSourceFName, reSourceLName, reSourceAddress, reSourceCity, reSourceState and reSourceZip: Total receipts from a single source that exceed $100.00 must be itemized. When the reReceiptType is Interest, Loan or Other (Itemized) the payor's name and address must be provided.

reReceiptSource – PAC to PAC receipts are not valid.

Non-Itemized Receipts:
When reReceiptType = 09 Other (Non-Itemized), the only data required is receiptId, reReceiptType, reDate, and reAmount. All other data if entered will be ignored.

The lnGuarantors Worksheet or Tab-delimited file

Column	Format	Description
receiptId	char(30) not null	This is your committee's unique external reference ID of the associated receipt record. This value must equal the value of the receiptId. Required.
lnGuarantorId	char(30) not null	This is your optional external ID for the loan guarantor. It is **highly recommended** you use this to uniquely identify your loan guarantors. *If you have already assigned a loan guarantor an ID as a contributor, receipt source or payee (cbContributorId. reSourceId or exPayeeId) you should use the same ID for all instances.*
lnGuarantorFullName	char(100)	The loan guarantor's full name. See Notes for when required.
lnGuarantorFullAddress	char(100)	The loan guarantor's full address. See Notes for when required
lnGuarantorAmount	Money not null	Loan guarantor's amount must be a vaild dollar aount greater than 0.00. See Notes for when required.

LNGUARANTORS NOTES:

receiptId: This is the external reference ID of the corresponding receipt for this loan.. This is **required** for the system to correctly tie the Loan Guarantors to the correct Loan.

lnGuarantorId: This is your external reference ID for the Loan Guarantor. This is optional but **highly recommended** to uniquely identify your Loan Guarantors.

lnGuarantorFullName, **lnGuarantorFullAddress**, **lnGuarantorAmount**: Loan Guarantors are optional. Up to 3 Guarantors can be entered for each loan. All three guarantors will have the same receiptID.

The expenditure Worksheet or Tab-delimited file

Column	Format	Description
expenditureId	char(30) not null	This is your unique external reference ID for this expenditure record. Each expenditure record must have its own unique identification number. Required.
exExpenditureType	char(2) not null	See Code Table section for valid values. Required.
exPurpose	char(2)not null	See Code Table section for valid values. Required.
exDate	date not null	Expenditure date – date expenditure was made or obligated. Required.
exAmount	money not null	Expenditure amount. Must be a valid dollar amount greater than 0.00. Required.
exAccountNumber	char(50)	Optional account or reference number for your use only.
exExplanationOther	char(100)	Required if exPurpose is type = 10 - Other
exPayeeId	char(30)	Your optional external ID for the payee. It is **highly recommended** you use this to uniquely identify your payees. The external ID you assign this payee should be used each time this payee is used. *If a payee also happens to be a contributor (payor)on any contribution records or a source (payor) on any receipt records, you should use the same ID for all instances.* . See Note section.
exPayeeType	char(2) not null	See Code Table section for valid values. Required.
exGroupBusinessName	Char(100)	Required if the expenditure is paid to a Group or Business and expenditure is “Itemized”
exFirstName	char(100)	Required if the expenditure is paid to an individual, not a Group or Business. Otherwise leave this blank. This is the payee first name.
exMiddleName	char(100)	The payee’s middle name if the expenditure is paid to an individual. Optional
exLastName	char(100)	Required if the expenditure is paid to an individual, not a Group or Business. Otherwise leave this blank. This is the payee last name.

Column	Format	Description
exNameSuffix	char(02)	The payee's name suffix if the expenditure is paid to an individual. Optional. See Code Table section for valid values
exAddress	char(50) not null	Payee address line . Required.
exCity	char(30) not null	Payee city. Required.
exState	char(2) not null	Payee state abbreviation. Required.
exZip	char(5) not null	Payee zip code. Required.

EXPENDITURE NOTES:

exPayeeId: This is your external reference ID for the payee. This is optional but **highly recommended** to uniquely identify your payees. *If a payee also happens to be a contributor (payor) on any contribution records or a source (payor)on any receipt records, you should use the same ID in all instances.* This will reduce the chance that duplicate contact records (payor/payee) will be created.

exPayeeType: PAC to PAC expenditures are not valid.
exPayeeType: Committee to PAC expenditures are not valid.

Non-Itemized Expenditures:
When exExpenditureType = 02 Non-Itemized, or 04 Non-Itemized Line of Credit Expenditure the only data required is expenditureId, exExpenditureType, exPurpose, exDate, and exAmount. If exPurpose = Other, then exExplanationOther is also required.

exPurpose:
Loan Repayment (07) only valid for **exExpenditureType**(s) Itemized (01) and Non-Itemized (02).
Interest (12) only valid for **exExpenditureType**(s) Itemized Line of Credit Expenditure (03) and Non-Itemized Line of Credit Expenditure (04).

Code Tables

The following import codes should be used where applicable in the specified worksheets and Tab-delimited files.

The contribution Worksheet Code Tables

cbContributionType (type of contribution)

Code	Import Code
Cash (Itemized)	01
Cash (Non-Itemized)	02
Non-Itemized Employee Payroll Contribution	03
In-Kind (Itemized)	04
In-Kind (Non-Itemized)	05

cbInKindNature (nature of in-kind contribution)

Code	Import Code
Administrative	01
Advertising	02
Counsultant/Polling	03
Equipment	04
Food	05
Rent	06
Transportation	07
Other	08

cbContributionSource (source of contribution)

Code	Import Code
Individual	01
Business or Corporation	02
Not used	*03*
PAC (Valid for Principal Campaign Committees only). PAC to PAC Contributions are not valid.	04
Other	05

cbReturn

Code	Import Code
No	0
Yes (This contribution is a “Return”)	1

cbNameSuffix

Code	Import Code
JR	01
SR	02
II	03
III	04
IV	05

The receipt Worksheet Code Tables

reReceiptType (type of receipt)

Code	Import Code
Interest	06
Loan	07
Other (Itemized)	08
Other (Non-Itemized)	09

reReceiptSource (source of receipt)

Code	Import Code
Individual	01
Group/Business or Corporation	02
Lending Institution	03
PAC (Valid for Principal Campaign Committees only) PAC to PAC Receipts are not valid.	04
Other	05

reSourceNameSuffix

Code	Import Code
JR	01
SR	02
II	03
III	04
IV	05

The expenditure Worksheet Code Tables

exExpenditureType (expenditure disbursement type)

Code	Import Code
Itemimzed	01
Non-Itemized	02
Itemized Line of Credit Expenditure	03
Non-Itemized Line of Credit Expenditure	04

exPurpose (purpose of expenditure)

Code	Import Code
Administrative	01
Advertising	02
Consultants/Polling	03
Contribution (Valid for PAC's only)	04
Food	05
Fundraising	06
Loan Repayment (*Valid for exExpenditureType of Itemized (01) and Non-Itemized (02) only*)	07
Lodging	08
Transportation	09
Other	10
Charitable Contribution (Valid for Principal Campaign Committeess only)	11
Interest (*Valid for exExpenditureType of Itemized Line of Credit Expenditure (03) and Non-Itemized Line of Credit Expenditure (04) only*)	12

exPayeeType (expenditure payee type)

Code	Import Code
Individual	01
Group/Business or Corporation	02
Lending Institution	03
Not Used	*04*
Other	05

exNameSuffix (expenditure payee name suffix)

Code	Import Code
JR	01
SR	02

II	03
III	04
IV	05