



STATE ELECTIONS ENFORCEMENT COMMISSION

2018 PRE-APPLICATION REVIEWS

2018 PRE-APPLICATION REVIEWS

The State Elections Enforcement Commission will be offering eligible candidate committees who intend to participate in the CEP a voluntary opportunity to receive one pre-application review (“PAR”) prior to the 2018 grant application season which begins in late May.

Eligibility:

Candidate committees must have raised the qualifying contribution threshold plus an adequate buffer prior to the applicable deadline to submit a financial disclosure statement (SEEC 30) for a pre-application review (PAR). Because committees will only receive one PAR, it is strongly recommended that a committee come in with a buffer of at least 5% for statewide office and at least 10% for General Assembly. It is strongly recommended that General Assembly candidate committees raising larger-dollar qualifying contributions of \$250 per the recent change in the law collect over the recommended buffer amount since the inability to qualify just four contributions may now result in a thousand dollar shortfall.

The Process:

Each committee will be able to receive only one pre-application review (PAR), so Commission staff stresses the importance of making sure your committee is organized and prepared. If the result of your PAR indicates that the committee has to fix contribution cards or raise additional money, the committee will not be able to have a second review before applying for a grant.

Committees should contact their assigned Elections Officer if they are interested in having a PAR completed this spring.

Following this letter is a checklist for committees to ensure they have everything organized for a successful review. Specific backup documentation is required, and outlined in the checklist, including providing the Commission with **TWO COPIES** of **NUMBERED** contribution documents (e.g. contribution certification forms, as well as transaction receipts and spreadsheets/settlement reports if the committee received online contributions).

Schedule a meeting with your Elections Officer to hand deliver your materials and to have staff review your materials with you prior to submission.

This is a voluntary review provided as a service to committees, and the assigned Elections Officer will provide his or her committees with feedback as soon as it is available.

CALENDAR/SCHEDULE

Treasurers: Within your eCRIS Reporting Homepage for your 2018 candidate committee, there will be additional non-standard reports available for you to tailor your reporting schedule to accommodate a PAR.

Dates to Submit SEEC 30	Period Covered	Eligible Candidate Committees
Feb 1-10	1/1-1/31	Statewide and General Assembly
Mar 1-10	1/1-2/28	Statewide and General Assembly
April 1-10	1/1-3/31	Statewide*

**If all statewide committees desiring a PAR have already been reviewed, the April time period may be expanded to allow PAR submissions by General Assembly candidate committees.*

PRE-APPLICATION REVIEW (PAR) CHECKLIST

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This is a voluntary process where the best organized committees will be reviewed and receive feedback first. Each committee may receive ONE PAR for the 2018 Election Cycle. This checklist should be used as a cover sheet for your documentation.

COMMITTEE NAME: _____

Applicant Printed Name: _____

Signature: _____

Date: _____

Candidate Committee Registration - ([SEEC Form 1 and 1A](#))

Y / N The candidate registered his or her candidacy and his or her candidate committee by filing the Registration by Candidate and Candidate Committee Registration Statement ([SEEC Form 1 and 1A](#)). Pre-Application Reviews will not be available to candidates who are still in Exploratory Committee.

Y / N If there has been any change in the committee information, such as a change in address or other contact information since the candidate initially filed the registration statement ([SEEC Form 1 and 1A](#)), the candidate filed an amended registration before or with the application.

Test Transaction (Electronic Funds Transfer - [SEEC Form CEP 12](#))

[Please note, if this has not been done at the time of PAR submission, it will need to be completed before the results of the PAR review are released.]

Y / N The treasurer completed and either previously submitted or attached a copy here of the Electronic Funds Transfer Form ([SEEC Form CEP 12](#)).

Y / N The treasurer or deputy treasurer already confirmed via email to the Candidate Services Unit the committee's receipt of the test transaction amount.

PRE-APPLICATION REVIEW (PAR) CHECKLIST

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Qualifying Contributions

Y / N The committee raised qualifying contributions to meet or exceed, as a “buffer”, the required qualifying threshold amount.

OFFICE	Qualifying Contribution Threshold	Qualifying Contribution Threshold + Buffer required for PAR
Governor	\$250,000	At least \$262,500
Lieutenant Governor	\$75,000	At least \$78,750
Other Statewide	\$76,600**	At least \$80,430
State Senate	\$15,300**	At least \$16,800
State House	\$5,100**	At least \$5,600

** Adjusted amount based on October 2017 CPI. Actual adjusted amounts will be released at the end of January 2018. The PAR application amount has been set to allow for changes.

Y / N The committee raised “in-district” qualifying contributions to meet or exceed the second part of the two-part threshold

OFFICE	In-District Contribution Threshold	In-District Contribution Threshold + Buffer required for PAR***
Governor	\$225,000	\$236,250
Lieutenant Governor	\$67,500	\$70,875
Other Statewide	\$69,000**	\$72,450
State Senate	300 Contributors	330
State House	150 Contributors	165

** Adjusted amount based on October 2017 CPI. Actual adjusted amounts will be released at the end of January 2018 and the PAR letter will be revised accordingly.

***With the new changes to contribution amounts, data is not available as to an adequate in-district buffer. The requirements above represent staff’s best guess and may change with experience.

Y / N The campaign provided **TWO COPIES** of a [Qualifying Contribution Certification \(“QC Cert”\) Form](#) or other permissible documentation for each contribution.

PRE-APPLICATION REVIEW (PAR) CHECKLIST

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Qualifying Contributions

- Y / N Each [QC Cert Form](#) has been completed in full and signed by the contributor. (Documentation listing employer as “self-employed” is not acceptable.)
- Y / N Each QC document copy has a unique Contribution ID number marked in its upper right corner that matches the Contribution ID number reported in Section B of [SEEC Form 30](#).
- Y / N The copies are organized in order of Contribution ID number.
- Y / N Check/Money Order Contributions: When making copies, a copy of the check or money order is placed at the bottom of the corresponding [QC Cert Form](#). Also, the check copy still allows a full, visible contributor signature. (If the copy of the check or money order is on a separate page from the corresponding [QC Cert Form](#), the check or money order **must** also be numbered with the Contribution ID number).
- Y / N **Cash Contributions:** Do not copy cash! If cash is copied to the bottom of a QC Cert Form, recopy with a piece of white paper over the cash, but make sure the re-copy clearly shows the contributor’s signature on the [QC Cert Form](#).
- Y / N Each [QC Cert Form](#) shows a residential address for the contributor. (Documentation with a P.O. Box is not acceptable).
- Y / N The paper copies are not bound, stapled, clipped, taped, and not in a vinyl cover, sleeve or notebook.
- If the committee collected **online contributions** via a website, the SEEC staff reviewed:
- Y / N The website interface
 - Y / N The transactional receipts
 - Y / N The spreadsheet
 - Y / N The initial MAP letter
- Y / N The Treasurer certifies that no changes have been made to the online contribution page since the SEEC’s review.

PRE-APPLICATION REVIEW (PAR) CHECKLIST

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Qualifying Contributions

Y / N Each [QC Cert Form](#) has been completed in full and signed by the contributor. (Documentation listing employer as “self-employed” is not acceptable.)

If a contribution was made by credit card, the committee has provided all required backup documentation:

Y / N The individual transactional receipts (which will serve as the certification forms and should be printed and numbered in accordance to their contribution ID number)

Y / N A copy of the summary statement from the merchant account provider in a workable format (Excel/CSV)

Y / N A MAP letter

Y / N The campaign treasurer has kept all original documentation of qualifying contributions. (Treasurers must keep internal records, including originals and solicitor records, for four years.)

Deposits

Y / N At the time of PAR submission, every contribution reported has also been deposited. All contributions, including cash and all contributions received via the website, must be deposited into the committee’s bank account before they are spent.

At the time of PAR submission, the committee depository holds only the following:

Y / N Unspent qualifying contributions of no more than the applicable threshold

Y / N Unspent personal funds provided to the committee by the candidate of no more than the allowable limit (outlined in chart below)

Y / N Unspent bank interest not yet transmitted to the Citizens’ Election Fund

SEEC Form 30

Y / N The treasurer has completed every applicable section and signed the [SEEC Form 30](#) reporting all funds received, expenditures made and expenses incurred but not yet paid by the committee through the end of the time period covered by the financial report for the PAR.

PRE-APPLICATION REVIEW (PAR) CHECKLIST

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SEEC Form 30

Y / N The treasurer has reported any personal funds from the candidate in Section E. Personal Funds of the Candidate. (Note: Candidates CANNOT contribute to their own candidate committee.)

OFFICE	Maximum Personal Funds Allowed
Governor	\$20,000
Lieutenant Governor	\$10,000
Other Statewide	\$10,000
State Senate	\$2,000
State House	\$1,000

Y / N The treasurer has confirmed with the candidate that all expenses paid by the candidate to date, whether or not reimbursement has been sought, have been reported in the [SEEC Form 30](#) submitted with this application.

Y / N The treasurer confirmed that all filings made during the life of the committee utilizing a [SEEC Form 21](#) or Section A of [SEEC Form 30](#) have been amended to report each contribution received during the relevant timeframe in Section B of a [SEEC Form 30](#).

Important Note for Candidates who had an Exploratory Committee:

If a candidate had an exploratory committee in this cycle, the exploratory committee must have filed the following before the candidate committee applies for a grant:

Y / N a Notice of Intent to Dissolve ([SEEC Form 5](#))

Y / N a termination statement ([SEEC Form 30](#))

Y / N a "carry forward form" detailing assets or debts carried forward from the exploratory committee to the candidate committee (If there are neither assets nor debts being carried forward, then the carry forward form must state so)

Also:

Y / N The committee has received feedback on the status of their rollover review