



## FY 2014 PERFORMANCE PLAN Office of Campaign Finance

### MISSION

The mission of the Office of Campaign Finance (OCF) is to regulate and provide public disclosure of the conduct, activities, and financial operations of candidates, campaign finance committees, legal defense committees, and constituent service and statehood fund programs to ensure public trust in the integrity of the election process and government service.

### SUMMARY OF SERVICES

The Office of Campaign Finance processes and facilitates the public disclosure of financial reports, which are required by law to be filed with the OCF; desk reviews and develops statistical reports and summaries of the financial reports; encourages voluntary compliance by providing information and guidance on the application of the District of Columbia Campaign Finance Act of 2011 (the Act), as amended, through educational seminars, interpretative opinions, and the OCF Web Site; and enforces the Act through the conduct of audits, investigations, and the informal hearing process.

### PERFORMANCE PLAN DIVISIONS<sup>1</sup>

- Oversight Support Services<sup>2</sup>
- Agency Management

### AGENCY WORKLOAD MEASURES

Measure	FY 2011 Actual	FY 2012 Actual	FY 2013 YTD <sup>3</sup>
Total number of financial reports received	3,686	1,125	873
Total number of desk reviews conducted of financial reports and financial disclosure statements	2,017	877	795
Total number of informal hearings conducted for noncompliance with the reporting requirements	243	126	97

<sup>1</sup> OCF is an independent agency. For the purposes of the FY14 Performance Plan, the OCF elected to organize the Plan at the agency level instead of by budget division due to the significant overlap across budget divisions.

<sup>2</sup> Oversight Support Services includes the following programs: (1) Public Information and Records Management; Reports Analysis and Audit Division; and (3) Office of the General Counsel.

<sup>3</sup> Data is current as of June 30, 2013.



**OBJECTIVE 1: Obtain full and complete disclosure of documents and actions relevant to the Campaign Finance Act through efficient and effective educational, audit, and enforcement processes.**

**INITIATIVE 1.1: Expand the OCF educational program to obtain full disclosure and increase voluntary compliance.**

The OCF will continue to revamp its Educational Program, under the management of the newly established Supervisory Training Coordinator. In FY14, the OCF will continue the overhaul of the Educational Brochures, Forms, Online Training Modules, and Web Site, to strengthen the filing community's understanding of its reporting obligations and foster compliance under Title III, the "Campaign Finance Act of 2011", of the "Board of Ethics and Government Accountability Establishment and Comprehensive Ethics Reform Amendment Act of 2011" (April 27, 2012). The OCF will also explore the viability of online interactive training sessions as an educational tool, and will create and conduct off-site training opportunities to reach a wider audience. OCF will schedule and conduct bi-weekly training sessions, commencing January 2014, on the reporting requirements of the Campaign Finance Act for the candidates and committees participating in the 2014 Election Cycle, the new committees established under the Act, and for the Constituent Service and Statehood Fund programs. Completion Date: September, 2014.

**INITIATIVE 1.2: Review financial reports, conduct periodic random audits to ensure accurate reporting, and produce the Biennial Report.**

Although introduced in FY05, the OCF will increase the number of periodic random audits conducted of the financial reports of continuing political committees from four (4) to six (6) on the January 31 and July 31 filing deadlines. The OCF will also schedule the periodic audit of the financial reports of active principal campaign committees during an election cycle on the October 10, March 10, and August 10 filing deadlines. The increased random audits will serve to make the financial operations of political committees more transparent. The OCF will continue to desk review at the close of each statutory filing deadline the financial reports of candidates, campaign finance committees, legal defense committees, and constituent service and statehood fund programs, for compliance with the reporting requirements; random audit the activity reports of the constituent service programs; and refer violations of the Campaign Finance Act to the General Counsel for enforcement. The desk review of financial reports and the conduct of periodic random audits are ongoing. Completion Date: September, 2014.

**INITIATIVE 1.3: Improve the enforcement process.**

During the 2014 Election Cycle, the Office of the General Counsel will organize the conduct of site visits to the Early Voting Centers and Election Precincts operated by the Board of Elections, and to the business offices of candidates for local elective office and political committees, as well as to the offices of any other committees under the purview of the Office of Campaign Finance. The OCF staff will be dispatched to observe activity in and around the Early Voting Centers and Election Precincts, and the financial operations and activity of the offices of the various entities registered with the OCF. The OCF staff will make inquiry and provide counsel where violations of the campaign finance laws may be observed. Completion Date: September, 2014.



**OBJECTIVE 2: Assimilate, maintain, and compile financial disclosure records received through electronic filing and by hard copy into an integrated, relational database.**

**INITIATIVE 2.1: Complete the data entry of all financial reports received by hard copy into the database before the next filing deadline.**

During FY12, reporting entities filed 755 financial reports electronically, and submitted 372 paper reports. Although it is anticipated the number of electronic filings will steadily increase due to the availability of the electronic signature functionality, the submission of paper reports will continue to require data entry. In FY14, there will be a minimum of five (5) separate filing deadlines, associated with the April 1, 2014 Primary Election for the Offices of Mayor of the District of Columbia, Chairman and At-Large (1) and Ward (1,3,5, and 6) Members of the Council of the District of Columbia, and the U.S. Senator (Shadow Representative) and Representative (Shadow Representative). It is projected the percentage of financial reports electronically filed in FY14 will be similar to, if not exceed, that of FY12, at 75% of the total actual filers. The remaining 25%, at a minimum, of the total reports filed, will require data entry. The data entry must be completed prior to the next filing deadline to present an accurate portrayal of campaign activity. Given the projected decline in the number of paper reports with the implementation of electronic filing, it is anticipated that OCF staff will become more efficient and accurate in the data entry of financial information. Completion Date: September, 2014.

**INITIATIVE 2.2: Promote the Electronic Filing of the Financial Reports of Transition, Inaugural, and Legal Defense Committees and the Registration Statements of Exploratory Committees.**

In FY13, OCF upgraded the OCF Electronic Filing System to accept the online filing of the financial reports of the committees newly established under the Campaign Finance Act of 2011, the Transition, Inaugural, and Legal Defense Committees; and the online registration of Exploratory Committees. The electronic filing capability for these filer groups will reduce the number of paper filings, eliminate the need for manual data entry, and provide for real time public disclosure. During FY14, the OCF will introduce and make available on its website the automated form for these filer groups. The OCF will educate these new committees about the electronic filing system through the OCF onsite training seminars, the development of educational brochures for these entities, and the issuance of reminder letters under the Filer Pre-Notification Program. Completion Date: September, 2014.

**OBJECTIVE 3: Disseminate Financial Disclosure Records and Statistical Reports.**

**INITIATIVE 3.1: Redesign the OCF website.**

To aid in the assessment of the OCF Electronic Filing and Report System, the online Training Modules, and the OCF website, the Office of Campaign Finance launched in FY 2013, the online Website Survey which closed on January 13, 2013. 70 visitors to the website participated in the Survey. The Survey Analysis Report found that most respondents were satisfied with the site information and services, while some experienced



difficulties navigating the site and locating services, and with browser compatibility. In June 2013, the OCF worked with the Office of the Chief Technology Officer to redesign the OCF homepage layout and navigation scheme, and to improve browser compatibility. During FY14, the Office of Campaign Finance will fully implement and introduce the redesigned web site and navigational scheme, as well as upgrades to the EFS applications, to make it easier for users to understand the reporting requirements, file reports, and access the campaign finance records filed with the agency. Completion Date: September, 2014.

**INITIATIVE 3.2: Increase availability of summary information.**

During FY14, the Office of Campaign Finance will seek the upgrade and modification of the contribution and expenditure screen modules of the Electronic Filing and Disclosure System to capture and report summary information at the OCF website from the Reports of Receipts and Expenditures of the Constituent Service Programs (OCF Form 10) and the Statehood Fund Programs (OCF Form 28). The Reports will sort the contributions by donor type and donation size, and the expenditures by purpose. Graphs will be used to illustrate the percentages of contributions received by contributor type and amount, and expenditures by transaction type. Completion Date: September 2014.



**KEY PERFORMANCE INDICATORS – Office of Campaign Finance**

<b>Measure</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Target</b>	<b>FY 2013 YTD<sup>4</sup></b>	<b>FY 2014 Projection</b>	<b>FY 2015 Projection</b>	<b>FY 2016 Projection</b>
Percent of informal hearings conducted and closed before the next filing deadline.	100%	100%	104.30% <sub>5</sub>	100%	100%	100%
Percent of investigative matters closed within 90 days of opening.	100%	100%	100%	100%	100%	100%
Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline.	100%	100%	100%	100%	100%	100%
Percent of financial reports filed electronically <sup>6</sup>	75%	80%	92.50%	95%	95%	95%
Percent of Interpretative Opinions issued within 30 days	100%	100%	100%	100%	100%	100%
Percent of periodic random audits conducted of political committees following the January 31st and July 31st filing deadlines	100%	100%	100%	100%	100%	100%

<sup>4</sup> Data is current as of June 30, 2013.

<sup>5</sup> This measure is greater than 100% because of an overlap of matters carried from the second quarter for the conduct of second hearings during the third quarter.

<sup>6</sup> The DC Council is considering legislation in FY13/FY14 to mandate 100% electronic filing.