



## Office of Campaign Finance OCF (CJ)

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### MISSION

The mission of the Office of Campaign Finance (OCF) is to regulate the conduct of public officials and political campaigns to ensure public trust in the integrity of the election process and government service.

### SUMMARY OF SERVICES

The Office of Campaign Finance processes and maintains financial reports, for public inspection, which are required by law to be filed with OCF; audits and develops statistical reports and summaries of the financial reports; conducts investigations and informal hearings of alleged violations of the Campaign Finance Act (the Act); and renders interpretative opinions concerning the application of the Act.

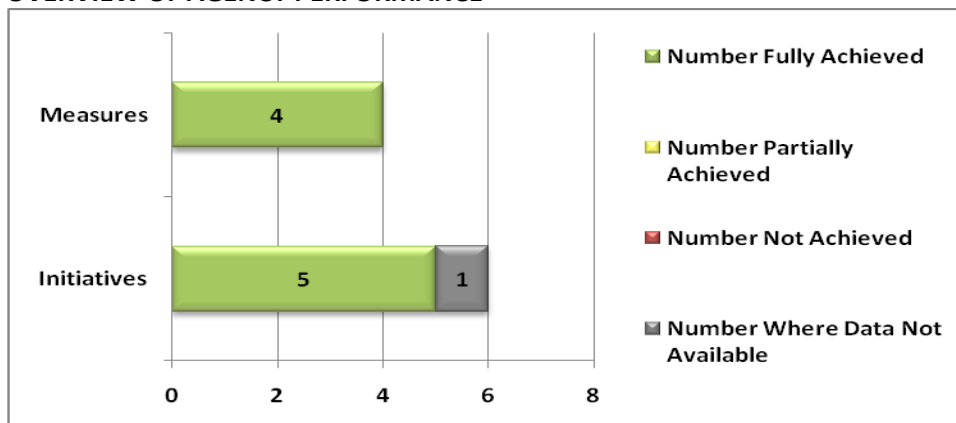
### AGENCY OBJECTIVES

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.
2. Assimilate, maintain, and compile financial disclosure records received through electronic filing and by hard copy into an integrated, relational database.
3. Disseminate financial disclosure records and statistical reports.

### ACCOMPLISHMENTS

- ✓ Prepared and disseminated the OCF 2009 Biennial Report of Contributions and Expenditures on February 3, 2009 to the Mayor and Council of the District of Columbia, at the OCF Website, and to the D.C. Public library.
- ✓ Launched at the OCF Website on April 1, 2009 the OCF Website Usability Survey for the period April 1, 2009 through September 1, 2009; on June 30, 2009 Educational Brochures for each OCF Program; and on July 16, 2009 a Contribution and Expenditure Search Feature for the Citizen-Service Programs.
- ✓ Coordinated the 100% response by 70 Agency heads of the submission of the lists of the names of public officials who were potential filers of the Financial Disclosure Statement for the May 15<sup>th</sup> Filing Deadline.

### OVERVIEW OF AGENCY PERFORMANCE





## Performance Initiatives – Assessment Details

### Performance Assessment Key:

- Fully achieved      ● Partially achieved      ● Not achieved      ● Data not reported

### **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.**

- OCF expanded the educational outreach program to provide training seminars throughout the entire 2009 calendar year, on every other Thursday, beginning February 19, 2009 until December 24, 2009; and create educational brochures for each OCF Program, which were made available at the OCF Website on June 30, 2009. OCF designated a staff team in May of 2009, for the purpose of reviewing the online tutorials, and making recommendations for updates based upon changes in the law, regulations, forms, and standard operating procedures. The Review-Online Training Recommendations were submitted on October 22, 2009, and are under consideration.

#### **INITIATIVE 1.2: Increase the number of periodic random audits to ensure accurate reporting.**

- OCF increased the number of periodic random audits of political committees, effective the July 31, 2009 reporting period. The OCF Auditing Division conducted four (4) random periodic audits of 4 political action committees, and terminated 28 principal campaign committees, upon the approval of the Final Report of Receipts and Expenditures. At the close of FY09, there were 29 active principal campaign committees and 58 active political action committees. OCF conducted 2176 Desk Reviews of the financial reports of political committees, lobbyists, citizen-service programs, and statehood funds before the next filing deadline of the respective reporting entity, and issued 174 Requests for Additional Information. OCF conducted a total of sixteen (16) periodic random and full field audits, and issued 15 Final Audit Reports.

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

- In FY09, OCF because of the allocation of specific responsibilities of each OCF Program in the Office of the General Counsel (OGC) to the four (4) OGC positions, received eleven (11) requests for interpretative opinions and timely issued eleven (11) Interpretative Opinions within thirty (30) days of receipt; and timely conducted and resolved 281 informal hearings on reporting deficiencies before the next filing deadline through the issuance of 201 Orders of the Director. The scheduling of multiple hearings on the same matter accounts for the disparity in the number of actual hearings conducted versus the number of actual orders issued.

### **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 FY09, public officials and reporting entities filed 1517 financial reports electronically, and submitted 2806 paper reports. The November 4, 2008 General Election was conducted by the Board of Elections and Ethics, and there were thirteen separate filing deadlines. OCF data entered the 2806 financial reports submitted by paper into the unified database before the next filing deadline to ensure an accurate portrayal of financial activity. The information was extracted to publish statistical reports and summary information of contributor and expenditure activity following the close of each filing deadline, and to produce the January 31, 2009 Biennial Report of financial activity for the prior two (2) year period; to publish the listings in the D.C. Register, required by the Campaign Finance Act; and to publish at the OCF website, the images of the 4323 financial reports filed with OCF during FY09. OCF published the names of those public officials required to file financial disclosure statements on April 24, 2009 (56 DCR 3233); and the names of those public officials who filed, requested an extension, and failed to file on June 19, 2009 (56 DCR 4519) on June 12, 2009. The listings of summary lobbyist information were published in the D.C. Register on February 13, 2009 (56 DCR 1503), and on August 14, 2009 (56 DCR 6441).

**OBJECTIVE 3: DISSEMINATE FINANCIAL DISCLOSURE RECORDS AND STATISTICAL REPORTS.**

**INITIATIVE 3.1: Design Geographical Information System to profile contributor and expenditure information of ward and at large candidates for publication on the OCF web site.**

- The design of the Geographical Information System (GIS) has been completed by the Office of the Chief Technology Officer (OCTO). The GIS will be launched at the OCF Website in FY2010.

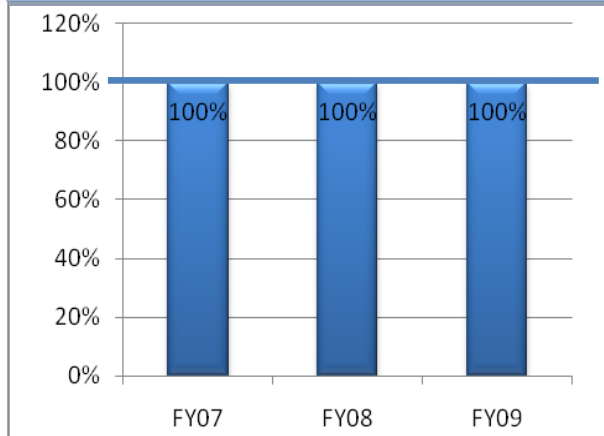
**INITIATIVE 3.2: Employ a Data Extraction System to provide for the integration of information into the OCF Database from the hard copy of financial reports.**

- The availability of data extraction systems to District Government Agencies remains in the planning stages at OCTO.



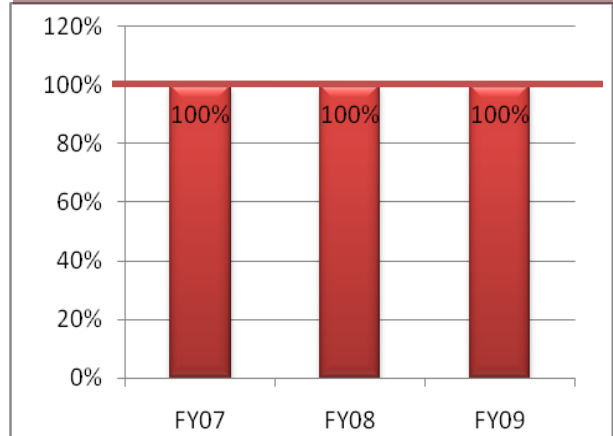
## Key Performance Indicators – Highlights

From Objective 2: Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline



**FULLY ACHIEVED**

From Objective 1: Percent of informal hearings and investigative matters conducted before the next filing deadline and within 90 days of



**FULLY ACHIEVED**

### More About These Indicators:

#### *How did the agency's actions affect this indicator?*

- Increased the number of educational seminars on the reporting requirements, which reduced the number of reporting irregularities.
- Produced and published Educational Brochures on each OCF Program at the OCF website, which reduced the number of reporting irregularities.
- OCF scanned the originals of 2806 financial reports onto the Imaging System, and the images of 1517 financial reports electronically filed were received online. Because of the increased efforts of the agency to educate filers about the EFS, manual scanning was reduced by 35%.

#### *What external factors influenced this indicator?*

- None

#### *How did the agency's actions affect this indicator?*

- Allocated specific responsibilities to each position in the OCF Office of the General Counsel, which reduced the time spent on the conduct of enforcement proceedings.

#### *What external factors influenced this indicator?*

- None



## Key Performance Indicators – Details

|   |  |   |   |
|---|--|---|---|
| <b>Performance Assessment Key:</b>                  |  |   |   |
| <span style="color: green;">●</span> Fully achieved | <span style="color: yellow;">●</span> Partially achieved | <span style="color: red;">●</span> Not achieved | <span style="color: gray;">●</span> Data not reported |

|   | Measure Name  | FY2008<br>YE<br>Actual | FY2009<br>YE<br>Target | FY2009<br>YE<br>Actual | FY2009<br>YE<br>Rating | Budget Program                   |
|---|---|------------------------|------------------------|------------------------|------------------------|----------------------------------|
| ● | 3.1 Percent of Interpretative Opinions issued within thirty days  | 0                      | 100                    | 100%                   | 100%                   | OVERSIGHT<br>SUPPORT<br>SERVICES |
| ● | 3.3 Percent of listings in the D.C. Register published before the statutory deadlines of January 15 <sup>th</sup> , April 30 <sup>th</sup> , June 15 <sup>th</sup> , and August 15 <sup>th</sup> of each year | 100                    | 100                    | 100%                   | 100%                   | OVERSIGHT<br>SUPPORT<br>SERVICES |
| ● | 3.4 Percent of informal hearings and investigative matters conducted before the next filing deadline and within 90 days of the filing of a complaint  | 100                    | 100                    | 100%                   | 100%                   | OVERSIGHT<br>SUPPORT<br>SERVICES |
| ● | 3.5 Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline  | 100                    | 100                    | 100%                   | 100%                   | OVERSIGHT<br>SUPPORT<br>SERVICES |