



## Office of Campaign Finance OCF (CJ)

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### MISSION STATEMENT

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.

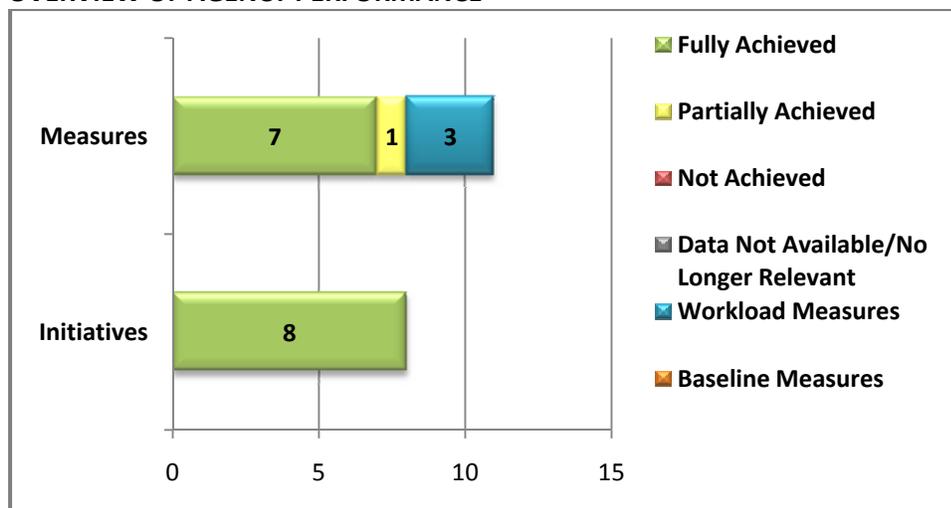
### SUMMARY OF SERVICES

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.

### ACCOMPLISHMENTS

- ✓ Fully implemented in all OCF Programs, the electronic signature as an option to eliminate the requirement for the submission of a signed paper copy of electronically filed financial statements and reports by political committees, candidates, lobbyists, public officials, and citizen-service and statehood fund programs.
- ✓ Launched a Subscription Service at the OCF Website on August 26, 2010 to invite members of the public to sign up to receive email updates on Complaints and Final Decisions, Filing Deadlines, Final Audit Analysis, Interpretative Opinions, and News.
- ✓ Developed and introduced the Geographical Information System at the OCF Website on October 13, 2010, which displays a map of the District of Columbia by zip code, and allows users to search by committee, office, and party to locate contribution totals by zip code.

### 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.**

During FY10, the Office of Campaign Finance partnered with the Office of Personnel through the Agency Human Resource Officers to disseminate by email on March 4, 2010, training information to public officials concerning the requirements of the Financial Disclosure Statute; and to provide training to Agency Human Resource Officers on June 24, 2010 on their responsibility to advise public officials to file the Financial Disclosure Statement upon separation from service. OCF also partnered with the General Counsel of the Council to provide ethics training to the Council and its staff in December 2009 and February 2010. OCF developed an Educational Brochure for candidates for ANC Member, which was made available at the OCF Website in July 2010. OCF provided onsite training bi-weekly to members of the public from January 2010 through December 2010 on electronic filing and the reporting requirements of the Campaign Finance Act. OCF distributed the Educational Brochures for candidates and political committees to the Board of Elections and Ethics for dissemination in its offices; and made hard copies of the Brochures available in the OCF office. The training modules are in development and will be made available at the OCF Website in conjunction with the launch of the new website designed by OCTO, and scheduled for release in Calendar Year 2010. At that time, word search of the Interpretative Opinions will be available through Google.

- **INITIATIVE 1.2: Review Financial Reports and Disclosure Statements and conduct periodic random audits to ensure accurate reporting.**

During FY10, the OCF Auditing Branch conducted 1832 Desk Reviews of the financial reports of political committees, lobbyists, public officials, and citizen-service and statehood fund programs before the next filing deadline of the respective reporting entity. 154 Requests for Additional Information were issued, and 140 auditees responded. The Audit Branch referred the fourteen (14) remaining matters to the OCF Office of the General Counsel for initiation of the enforcement process. OCF conducted a total of sixteen (16) periodic random and full field audits, and issued 15 Final Audit Reports. At the close of FY10, there were 48 active principal campaign committees and 63 active political action committees. The Audit Branch terminated 16 political committees upon the approval of the Final Report of Receipts and Expenditures.

- **INITIATIVE 1.3: Improve the Enforcement Process.**

As reported in the OCF FY09 Performance Accountability Report, OCF allocated the specific responsibilities of each Program in the Office of the General Counsel to the four (4) OGC positions to better manage the processing of its tasks. In FY10, OCF received and timely issued seven (7) interpretative opinions within thirty (30) days of receipt; and timely conducted and



resolved 324 informal hearings on reporting deficiencies before the next filing deadline through the issuance of 370 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: Increase the Percentage of Financial Reports Filed Electronically.**  
As the result of the enactment of the "Campaign Finance Electronic Signature Amendment Act of 2009", effective October 15, 2009 (D.C. Act 18-207), the Director of Campaign Finance was authorized to provide for the use of "electronic or digital signatures" to verify electronically filed financial reports. To fully implement this legislation, the OCF Electronic Filing and Disclosure System was modified in FY09 to incorporate Digital Certification and Verification Functionality. The electronic signature capability was first made available for the filing of the Reports of Receipts and Expenditures by candidates and political committees on January 31, 2010 and by Citizen-Service and Statehood Fund Programs on April 1, 2010; the Financial Disclosure Statement by public officials on May 15, 2010; the Lobbying Activity Report by lobbyists on July 10, 2010; and the filing of the ANC Summary Financial Report by candidates for ANC Member in January 2011 when the Report becomes due. During FY10, 1774 Financial Reports were filed electronically out of a total of 3815 Financial Reports filed, compared with 1517 reports electronically filed out of 4323 total reports filed in FY09. 1318 Financial Reports were electronically certified in FY10, which eliminated the requirement for the user to submit a signed paper copy of the electronically filed document.
  
- **INITIATIVE 2.2: Electronic Filing of ANC Reports.**  
OCF completed in January 2010, the upgrade of the OCF Electronic Filing System to accept the online filing of the Summary Financial Statement of candidates for the Office of Advisory Neighborhood Commission Member, participating in the November 2, 2010 General Election. This filing option for ANC candidates will reduce the number of paper filings and eliminate the need for manual data entry. The ANC Form will be moved into production on November 1, 2010.
  
- **INITIATIVE 2.3: Complete the Data Entry of all Financial Reports received by hard copy into the database before the next filing deadline.**  
During FY10, public officials and reporting entities filed 1774 financial reports electronically, and submitted 2041 paper reports. The September 14, 2010 Primary Election was conducted by the Board of Elections and Ethics, and there were six (6) filing deadlines associated with this Election. There were also thirteen (13) other ongoing statutory filing deadlines for lobbyists, public officials, continuing political committees, and citizen-service and statehood fund programs which fell during FY10. OCF data entered the 2041 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 at the OCF Website statistical reports and summary information of contributor and expenditure activity following the close of each filing deadline; and to publish at the OCF Website, the 3815 images of the financial reports filed with OCF during FY10. OCF published in the D.C. Register the names of those public officials required to file financial disclosure statements on April 23, 2010 (57 DCR 3512); and the names of those public officials who filed, requested an extension, and failed to file on



June 11, 2010, Vol. 57. The listings of summary lobbyist information were published in the D.C. Register on February 12, 2010 (57 DCR 1439) and on August 13, 2010, Vol. 57.

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

- **INITIATIVE 3.1: Develop an E-Mail Subscription Service.**  
The Office of Campaign Finance completed the development of a subscription service on August 9, 2010. The service was made available to the public at the OCF Website, www.ocf.dc.gov, on August 10, 2010. The Subscription Service allows members of the public to subscribe at the OCF Website to receive email updates on complaints filed with OCF and the issuance of Final Decisions resolving these matters; the filing deadlines for financial reports; the issuance of Final Audit Analysis and Interpretative Opinions; and OCF news items. The subscriber may indicate their update preferences.
  
- **INITIATIVE 3.2: Launch the Geographical Information System.**  
The Geographical Information System (GIS) was fully developed in FY10, and launched at the OCF Website on October 13, 2010. The GIS System displays a map of the District of Columbia by zip code, and allows users to search by committee, office, and party to locate contribution totals by zip code.

**Key Performance Indicators – Details**

**Performance Assessment Key:**

● Fully achieved   
 ● Partially achieved   
 ● Not achieved   
 ● Data not reported   
 ● Workload Measure

	Measure Name	FY2009 YE Actual	FY2010 YE Target	FY2010 YE Actual	FY2010 YE Rating	Budget Program
●	3.1 Percent of listings in the D.C. Register published before the statutory deadlines of January 15th, April 30th, June 15th, and August 15th of each year.	100	100	100%	100%	PUBLIC INFO. & RECORD MANAGEMENT
●	3.2 Percent of informal hearings conducted and closed before the next filing deadline.	100	100	100%	100%	OFFICE OF THE GENERAL COUNSEL
●	3.3 Percent of investigative matters closed within ninety days of opening.	0	100	100%	100%	OFFICE OF THE GENERAL COUNSEL



●	3.4	3.4: Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline.	100	100	100%	100%	REPORT ANALYSIS & AUDIT DIV.
●	3.5	3.5: Percent of financial reports filed electronically.	38	60	59.64%	99.41%	PUBLIC INFO. & RECORD MANAGEMENT
●	3.6	3.6: Number of periodic random audits conducted of political committees following the January 31st and July 31st filing deadlines	14	12	21	175%	REPORT ANALYSIS & AUDIT DIV.
●	3.7	Percent of Interpretative opinions issued within thirty (30) days	100	100	100%	100%	OFFICE OF THE GENERAL COUNSEL
●	3.8	Compliance rate <sup>1</sup>	91	94	94.39%	100.41%	OFFICE OF CAMPAIGN FINANCE
●	3.9	# of financial reports received	3,941		3815		PUBLIC INFO. & RECORD MANAGEMENT
●	3.10	Total number of desk reviews conducted of financial reports and financial disclosure statements	625		1832		REPORT ANALYSIS & AUDIT DIV.
●	3.11	Total number of informal hearings conducted for noncompliance with the reporting requirements	210		324		OFFICE OF THE GENERAL COUNSEL

<sup>1</sup> The total number of disclosure statements received compared to the number expected