



Office of Campaign Finance OCF (CJ)

MISSION

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

SUMMARY OF SERVICES

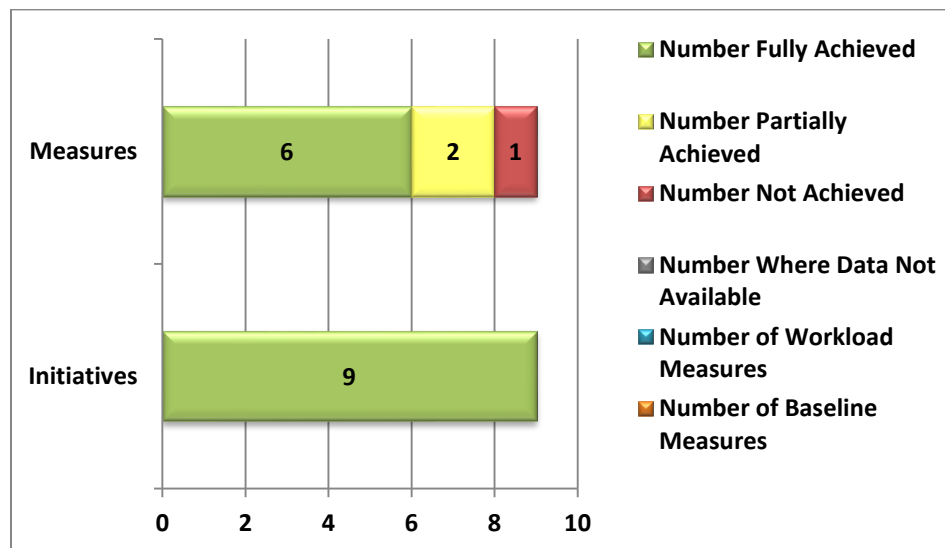
The Office of Campaign Finance processes and maintains financial reports for public inspection, which are required by law to be filed with OCF; audits and develops statistical reports and summaries of the financial reports; conducts investigations and informal hearings of alleged violations of the Campaign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

ACCOMPLISHMENTS

- ✓ Fully implemented on January 5, 2011, the electronic disclosure at the OCF Web Site of the registration statements of candidates, political committees, citizen-service and statehood fund programs, and lobbyists, which allows users to search, retrieve, and view registration statements in a PDF format.
- ✓ Upgraded the OCF Electronic Filing and Report System to provide for the online filing at the OCF Web Site commencing on December 1, 2010, of the Summary Financial Statement of Candidate for the Office of Member of an Advisory Neighborhood Commission (ANC) (OCF Form 18), and on May 1, 2011, of the Honoraria and Outside Income Disclosure Statement (HOIDS) (OCF Form 24) by Public Officials.
- ✓ Produced and disseminated the OCF 2011 Biennial Report of Contributions and Expenditures on January 31, 2011 to the Mayor and Council of the District of Columbia, and to the public, at the OCF Web Site and the D.C. Public Library.






OVERVIEW OF AGENCY PERFORMANCE





Performance Initiatives - Assessment Details

Performance Assessment Key:

-  Fully achieved  Partially achieved  Not achieved  Data not reported

Agency Management

OBJECTIVE 1: Obtain full and complete disclosure of documents and actions relevant to the Campaign Finance and Conflict of Interest 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.**

Fully Achieved

During FY 2011, the Office of Campaign Finance provided onsite educational seminars bi-weekly from February 2011 to December 2011 for interested members of the public, and the treasurers of political committees, the citizen-service and statehood fund programs, lobbyists, and public officials. Notice of the training sessions was published at the OCF Web Site, and was enclosed in mailings through the OCF Pre-Notification Program to remind reporting entities of upcoming filing deadlines for financial reports. OCF also partnered with the General Counsel of the Council of the District of Columbia to provide training to the Council Members and their staff on the reporting requirements of the Financial Disclosure Program on May 6, 2011, and on the Constituent Services Program on June 9, 2011. The Agency developed and designed online Training Modules for Candidates; OCF Form 16, the Report of Receipts and Expenditures filed by candidates and political committees; the Financial Disclosure Statement; and the Senator and Representative Statehood Fund, Lobbyists, and Citizen-Service Programs. The Training Modules will be published at the OCF Web Site on January 19, 2012, and will capture a wider audience than that reached through the seminars conducted at the OCF Offices. The Training Modules were designed to create a better understanding of the campaign finance, lobbying, and conflict of interest and disclosure laws. The modules will promote the timely electronic filing of the financial reports.

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

Fully Achieved

During FY 2011, the Reports Analysis and Audit Division of the Office of Campaign Finance conducted 2017 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. The Audit Branch issued 160 Requests for Additional Information, and 157 auditees responded. The Audit Branch referred three (3) matters to the Office of the General Counsel for initiation of the enforcement process, due to the failure of the reporting entity to respond. These matters were resolved through the informal hearing process. OCF conducted a total of seventeen (17) periodic random, full field, and investigative review audits, and issued fifteen (15) Final Audit Reports and one (1) Investigative Recommendations Report. At the close of FY 2011, there were 48 active principal campaign committees and 58 active political action committees. The Audit Branch terminated 24 political committees upon the approval of their Final Report of Receipts and Expenditures. The Office of Campaign Finance produced and disseminated



the OCF 2011 Biennial Report of Contributions and Expenditures on January 31, 2011 to the Mayor and Council of the District of Columbia, and to the public, at the OCF Web Site, and the D.C. Public Library.

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

Fully Achieved

At the close of FY 2011, the Office of the General Counsel conducted a comparative study of the five (5) completed investigations, and the pending investigations which were initiated in FY 2011, to evaluate the timeframes within which evidence was gathered and explored during the conduct of full investigations. The General Counsel determined that for the most part investigations were completed, and the Orders of the Director issued within the statutory timeframe of ninety (90) days from initiation to disposition. However, in those cases in which there were parallel investigations being conducted by the OCF and another investigative agency, the OCF investigation was delayed due to the unavailability of the witnesses and the sharing of documents. In addition, the onset of investigations was also delayed where the conduct of a full investigative audit has been required. Consequently, the Office of Campaign Finance requested extensions of time, in accordance with the provisions of the Campaign Finance Act, from the Board of Elections and Ethics to cover the additional time needed to proceed with the affected investigations. Based on the findings of the Study, the Agency did not require modification of its investigative procedures. During FY 2011, the Office of Campaign Finance received and timely issued four (4) Interpretative Opinions within thirty (30) days of receipt; and timely resolved 509 scheduled informal hearings on reporting deficiencies before the next filing deadlines through the conduct of 114 actual hearings and the issuance of 243 Orders of the Director. The referral of 351 delinquencies in the FDS Program to the OGC in July 2011 resulted in the scheduling of hearings during both FY 2011 and FY 2012. 122 of the FDS referrals have been resolved, and 229 matters are pending resolution before the next filing deadline of May 15, 2012. The filing deadline in the FDS Program is an annual filing which occurs on May 15th of each year. In addition, the dismissal of cases without a hearing, the vacate of hearing notices, and the scheduling of multiple hearings on the same matter accounts for the disparity in the number of actual hearings conducted versus the number of scheduled hearings and actual orders issued. The Agency also completed five (5) Investigations, filed five (5) Petitions for Enforcement before the Board of Elections and Ethics, and conducted ten (10) Show Cause Proceedings to address reporting requirements emanating from deficiencies associated with political committees participating in the November 2nd, 2010 General Election and the April 26, 2011 Special Election conducted by the Board of Elections and Ethics.

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.**

Fully Achieved

During FY 2011, the Office of Campaign Finance through the issuance of reminder letters under the Filer Pre-Notification Program, the onsite Educational Seminars, and the publication of notices at the OCF Web Site concerning filing deadlines, educated reporting entities under the Campaign Finance Act about the availability of the electronic filing system to file financial reports online at the OCF Web Site, and to certify the reports by electronic signature. As the result of these efforts, 2596 Financial Reports were filed electronically out of a total of 3657 Financial Reports filed, compared with 1774 reports electronically filed out of 3815 total reports filed in FY 2010. 2257



Financial Reports were certified in FY 2011, which eliminated the requirement for the user to submit a signed paper copy of the electronically filed document.

INITIATIVE 2.2: Electronic Filing of the ANC Summary Financial Statement and the Honoraria and Outside Income Disclosure Statement.

Fully Achieved

During FY 2011, the OCF Electronic Filing System was upgraded to provide for the electronic filing of the Summary Financial Statement of Candidate for the Office of Member of an Advisory Neighborhood Commission (ANC) Form (OCF Form 18), and the Honoraria and Outside Income Disclosure Statement (HOIDS) Form (OCF Form 24). The ANC Form 18 was moved into production on November 1, 2010, and for the first time, ANC candidates were able to electronically file at the OCF Web Site the Summary Financial Statement following the Certification of the November 2010 General Election Results by the Board of Elections and Ethics on November 29, 2010. There were 364 ANC candidates identified as required filers; 310 candidates timely filed their financial report by January 31, 2011, and 28 filed late. 75 ANC candidates electronically filed, and 57 of the filers certified their filing, eliminating the requirement for the submission of a signed paper copy. On December 1, 2010, the Office of Campaign Finance published Notice at its Web Site of the reporting requirement for ANC candidates, and the availability of the Electronic Filing System for the filing of the Summary Financial Statement. Notice of the ability to electronically file the ANC Report was also included in the reminder letters issued to the candidates under the OCF Pre-Notification Program. The HOIDS Form was made available for electronic filing at the OCF Web Site by public officials in May 2011 for the May 15, 2011 deadline for the filing of the HOIDS and the Financial Disclosure Statement. There were 21 Public Officials who were required to file the HOIDS Financial Report; 21 timely filed, and 11 electronically filed. The Public Officials were notified of the availability of the Electronic Filing System for the filing of this Form through the issuance of reminder letters under the OCF Pre-Notification Program and onsite training.

INITIATIVE 2.3: Complete the Data Entry of all Financial Reports received by hard copy into the database before the next filing deadline.

Fully Achieved

During FY 2011, public officials and reporting entities filed 2596 financial reports electronically, and submitted 1061 paper reports. There were two Elections conducted by the Board of Elections and Ethics in this Fiscal Year, the November 2, 2010 General Election and the April 26, 2011 Special Election; and there were a minimum of ten (10) filing deadlines associated with these Elections. 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 in FY 2011. OCF data entered the 1061 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 Web Site statistical reports and summary contribution and expenditure activity following the close of each filing deadline, and to produce the January 31, 2011 Biennial Report of financial activity for the prior two (2) year period of political committees and candidates; to publish listings in the D.C. Register, required by the Campaign Finance Act; and to publish at the OCF Web Site 3657 images of the financial reports filed with OCF during FY 2011. OCF published in the D.C. Register the names of those public officials required to file financial disclosure statements on April 22, 2011 (58 DCR 16); and the names of those public officials who filed, requested an extension, and failed to file on June 10, 2011 (58 DCR 23). The listings of summary lobbyist information were published in the D.C. Register on February 11, 2011 (58 DCR 6) and on August 12, 2011 (58 DCR 32).



OBJECTIVE 3: Disseminate Financial Disclosure Records and Statistical Reports.

● **INITIATIVE 3.1: Launch the E-Mail Subscription Service.**

Fully Achieved

During FY 2011, the Office of Campaign Finance launched the OCF E-Mail Subscription Service at the OCF Web Site. The Service enables the Agency to more timely and effectively disseminate updates on the issuance of final decisions in investigative cases, rulemaking, final audit analysis, and interpretative opinions. Further, OCF blasts reminders of upcoming filing dates to specific reporting entities. As of September 30, 2011, there were 264 members of the public who have elected to use the service.

● **INITIATIVE 3.2: Electronic Disclosure of the Registration Statements of Candidates, Political Committees, Citizen-Service and Statehood Fund Programs, and Lobbyists.**

Fully Achieved

During FY 2011, the Office of Campaign Finance upgraded the registration modules of the Electronic Filing and Reporting System to provide on January 5, 2011 at the OCF Web Site, the electronic disclosure of information from the registration statements of candidates, political committees, citizen-service and statehood fund programs, and lobbyists. This feature allows users to search, retrieve, and view registration statements at the OCF Web Site in a PDF format.

● **INITIATIVE 3.3: Electronic Search of Lobbying and Financial Disclosure Information.**

Fully Achieved

During FY 2011, the search functionality of the OCF Electronic Filing and Report System was upgraded to enable the search of information from the Lobbyist Activity Reports (OCF Form 26) and the Financial Disclosure Statements (OCF Form 62) of public officials. This feature was made available to members of the public in January 2011.



Key Performance Indicators – Details

Performance Assessment Key:

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

		Measure Name	FY2010 YE Actual	FY2011 YE Target	FY2011 YE Revised Target	FY2011 YE Actual	FY2011 YE Rating	Budget Program
●	3.1	Percent of listings in the D.C. Register published before the statutory deadlines of February 15th, April 30th, June 15th, and August 15th of each year.	100%	100%		100%	100%	AGENCY MANAGEMENT PROGRAM
●	3.2	Percent of informal hearings conducted and closed before the next filing deadline.	100%	100%		86.79%	86.79%	AGENCY MANAGEMENT PROGRAM
●	3.3	Percent of investigative matters closed within ninety days of opening. ⁱ	100%	100%		62.50%	62.50%	AGENCY MANAGEMENT PROGRAM
●	3.4	Percent of financial reports referred for review, evaluation, and analyzes before the next filing deadline.	100%	100%		100%	100%	AGENCY MANAGEMENT PROGRAM
●	3.5	Percent of financial reports filed electronically	100%	70%		70.99%	101.41%	AGENCY MANAGEMENT PROGRAM
●	3.6	Percent of Interpretative Opinions issued within thirty (30) days	94%	100%		100%	100%	OVERSIGHT SUPPORT SERVICES
●	3.7	Percent of Financial Disclosure Statements and Conflict of interest Reports filed electronically	90%	60%		78.59%	130.98%	OVERSIGHT SUPPORT SERVICES
●	3.8	Percent of Financial Disclosure Statements filed on time.	100%	96%		86.90%	90.52%	OVERSIGHT SUPPORT SERVICES
●	3.9	3.9 Percent of periodic random audits of political committees following January 31st and July 31st filing deadlines completed before next deadline	100%	100%		100%	100%	AGENCY MANAGEMENT PROGRAM

ⁱ 3.3 Measure....OCF received or initiated eight (8) complaints in FY11, and completed five (5) complaints within ninety days of initiation. OCF, pursuant to statute, requested extensions of time to complete the three (3) remaining investigations from the Board of Elections, which were granted due to the unique circumstances of each case.