



## 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, 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 Code (the Code); and renders interpretative opinions concerning the application of the Code.

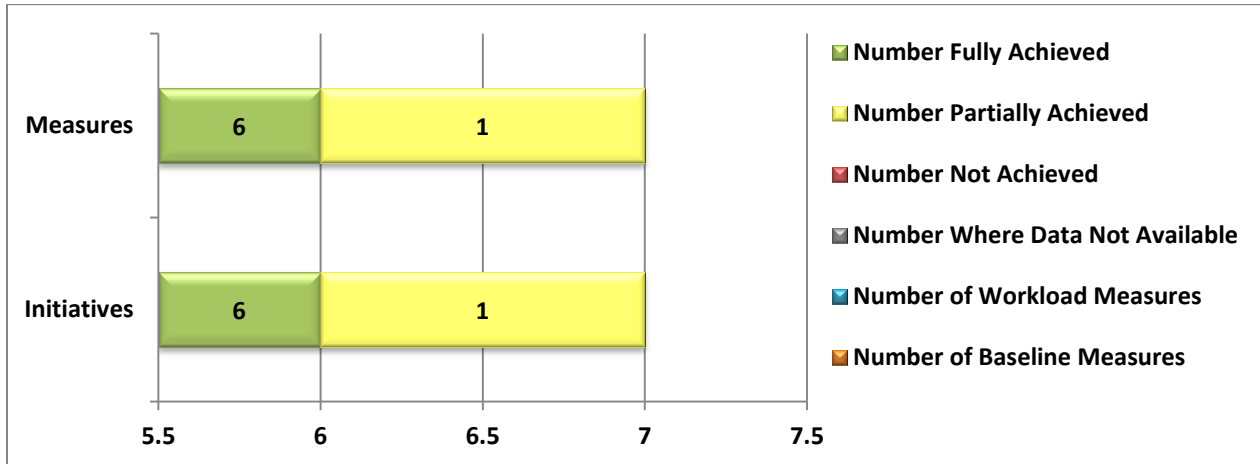
### ACCOMPLISHMENTS:

- ✓ Drafted comprehensive Regulations to implement the "Campaign Finance Act of 2011" and amend Chapters 3- 37, Title 3, "Elections and Ethics", of the DCMR.
- ✓ Developed and launched October 4, 2012 at the OCF Website the Usability Survey, which will remain open until December 31, 2012
- ✓ Introduced EFS feature to identify excessive contributions.

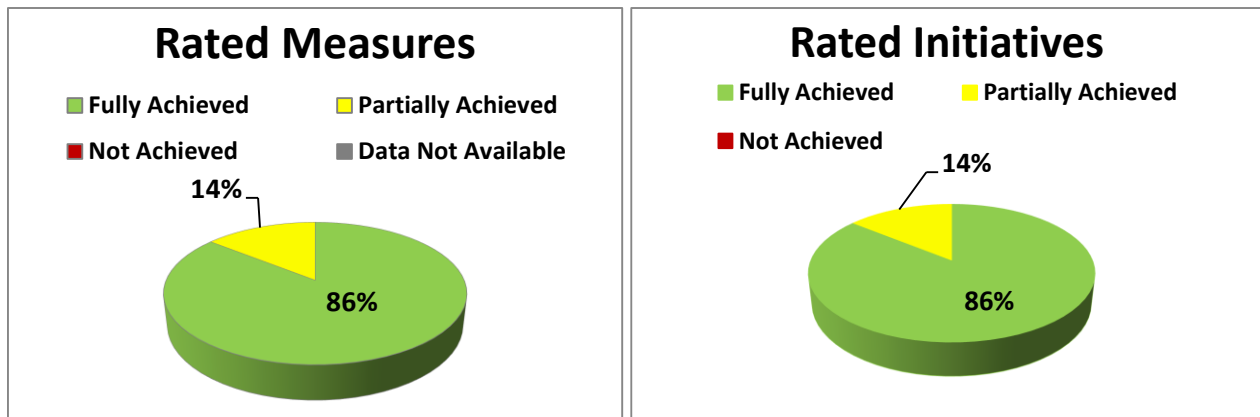


## OVERALL OF AGENCY PERFORMANCE

### TOTAL MEASURES AND INITIATIVES



### RATED MEASURES AND INITIATIVES



**Note:** Workload and Baseline Measurements are not included

Default KPI Rating:	
$\geq 100\%$	Fully Achieved
75 - 99.99%	Partially Achieved
$< 75\%$	Not Achieved



## 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 Code 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 2012, the Office of Campaign Finance (OCF) engaged in a comprehensive review and overhaul of Title 3, "Elections and Ethics", Chapters 30 - 37, of the DC Municipal Regulations to conform the regulations governing the operations of the OCF with the requirements of the Campaign Finance Act of 2011, effective April 27, 2012. The OCF drafted proposed regulations which were adopted by the Board of Elections on October 3, 2012, and published in the D.C. Register on October 12, 2012 (Vol. 59, No. 41). Upon final adoption, the regulations will serve as the basis for the revision of the OCF Brochures, Forms, Online Training Modules, and Web Site. The OCF incorporated into the agenda for the onsite bi-weekly educational seminars scheduled from January 12, 2012 through December 13, 2012, the new reporting requirements of the Campaign Finance Act for the new committees established under the Act and for the constituent service programs (CSP). Notice of the 2012 Training Schedule was published at the OCF Web Site, and enclosed in mailings through the OCF Pre-Notification Program to remind reporting entities of the upcoming deadlines for the filing of financial reports. In addition, the OCF Audit Branch conducted specialized training for the treasurers of the CSP Programs on June 28, 2012, July 12, 2012, and July 26, 2012 to focus on the changes in the CSP reporting requirements.

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

**Fully achieved.** During FY 2012, the Reports Analysis and Audit Branch of the Office of Campaign Finance conducted 877 desk reviews of the Financial Reports of political committees, candidates, lobbyists, and constituent service and statehood fund programs, for compliance with the reporting requirements. The desk reviews were completed before the next filing deadline of the respective reporting entity. The Audit Branch issued 208 Requests for Additional Information, and 170 auditees satisfactorily responded. The Audit Branch referred the remaining 28 matters to the Office of the General Counsel for the initiation of the enforcement process due to the failure of the entity to respond to the



audit request. Twenty-seven (27) of these matters were resolved, and a fine of \$1,000 was imposed in the remaining case. The OCF conducted a total of fifteen (15) periodic random, full field, and investigative audits, and issued fourteen (14) Final Audit Reports. At the close of FY 2012, there were 47 active principal campaign committees and 47 active political action committees. The Audit Branch terminated 38 political committees upon the approval of their Final Report of Receipts and Expenditures.

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

**Fully achieved.** During FY 2012, the Office of the General Counsel coordinated the comprehensive review of the operating procedures, regulations and forms of the Office of Campaign Finance, and proposed the wholesale revision of the regulations governing the OCF operations to fully implement the changes in the campaign finance laws mandated by the Campaign Finance Act of 2011. The Notice of Emergency and Proposed Rulemaking was adopted by the Board of Elections on October 3, 2012, and published in the D.C. Register on October 12, 2012 (Vol. 59, No. 41). These regulations will serve as the framework for the amendment of the standard operating procedures of the Office of Campaign Finance. Further, the Office of Campaign Finance received and timely issued six (6) Interpretative Opinions within thirty (30) days of receipt; and timely resolved 142 referrals on reporting deficiencies before the next filing deadline for each through the conduct of 62 informal hearings and the issuance of 256 Orders of the Director. 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 eleven (11) investigations, filed eleven (11) Petitions for Enforcement before the Board of Elections, and conducted six (6) Show Cause Proceedings to address reporting requirements emanating from deficiencies associated with candidates for the Office of Advisory Neighborhood Commission Member, and with political committees and candidates participating in the April 3, 2012 Primary Election conducted by the Board of Elections.

**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.**

**Partially Achieved.** During FY 2012, the Office of Campaign Finance aggressively advocated through educational outreach, the issuance of 1243 reminder letters under the Filer Pre-Notification Program, and the publication of notices at the OCF Web Site, the availability of the electronic filing system to file financial reports online at the OCF Web Site, and the electronic signature to certify the reports. The electronic filing and certification of financial reports reduces the need for the manual data entry of information, and eliminates the requirement for the submission of a signed paper copy of the electronically filed document in all OCF Programs. As the result of these efforts, 797 Financial Reports were filed electronically out of a total of 1134 Financial Reports filed.



665 of these Reports were certified, which eliminated the requirement for the user to submit a signed paper copy of the electronically filed document.

### **INITIATIVE 2.2: INITIATIVE 2.2: Electronic Filing of ANC Summary Financial Statement**

**Fully achieved.** OCF introduced in FY11, the upgrade of the OCF Electronic Filing System to accept the online filing of the Summary Financial Statement of Candidate for the Office of Member of an Advisory Neighborhood Commission (ANC) Form. The electronic filing capability for this filer group will reduce the number of paper filings and eliminate the need for manual data entry. The ANC Summary Financial Statement Form was made available for electronic filing in January 2011. The ANC Summary Financial Statement must be filed by ANC candidates within thirty (30) days of the certification of the election results for these offices by the Board of Elections. The Board certified the November 2012 General Election Results on November 29, 2012, and the Statement is due no later than January 29, 2013. The OCF published a Notice at its Web Site on November 29, 2012, reminding ANC candidates that the Form may be electronically filed. On November 29, 2012, reminder letters were issued to the ANC candidates under the OCF Pre-Notification Program to remind candidates of the impending filing deadline and the availability of the electronic filing system. During FY 2012, and prior to the Election, the Office of Campaign Finance intensified its efforts to educate candidates for the Office of ANC Member participating in the 2012 General Election about the availability and use of the electronic filing system for the submission of their financial report through coordination with the Board in the dissemination of information during the nomination petition process, and by inclusion of candidates for ANC Member in the onsite training seminars conducted by OCF.

### **INITIATIVE 2.3: 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 2012, reporting entities filed 797 financial reports electronically, and submitted 337 paper reports. There were two Elections conducted by the Board of Elections in this Fiscal Year, the April 3, 2012 Presidential Preference Primary Election and the Primary Election for local elective offices, and the May 15, 2012 Special Election for the Office of Member of the Council from Ward 5. There were a minimum of fifteen (15) filing deadlines associated with these Elections, and the ongoing statutory filing deadlines for lobbyists, continuing political committees, and constituent service and statehood fund programs. OCF successfully entered the 337 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; to publish listings due in the D.C. Register; and to publish at the OCF Web Site 1134 images of the financial reports filed during FY 2012. OCF published the listings of summary lobbyist information in the D.C. Register on February 17, 2012 (Vol. 59, No. 7),



and on August 10, 2012 (Vol. 59, No. 32).

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

**INITIATIVE 3.1: Ensure the Timely Dissemination and Transparency of Financial Reports**

**Fully achieved.** During FY 2012, the Office of Campaign Finance developed a survey for online publication at the OCF Web Site to elicit comments and evaluate the effectiveness and efficiency of the OCF Web Site and its features to deliver relevant information and services during the April 3, 2012 Primary Election, the May 15, 2012 Special Election, and the November 6, 2012 General Election. The survey was launched at the OCF Web Site on October 3, 2012 for online submission. As a secondary method, the survey was directed through the OCF e-mail subscription service to reporting entities, including candidates and political committees, and citizen-service and statehood fund programs, and to members of the public. The survey will also aid in the assessment of services recently made available to the public in FY 2011, including the electronic signature functionality in the electronic filing of financial reports; the e-mail subscription service; the Geographical Information System; the automation of the ANC Summary Financial Report for electronic filing; the electronic disclosure and search of the registration information of candidates and political committees; and the database download functionality. The results of the survey will aid OCF in its ongoing effort to ensure the disclosure, transparency, and easy access by the public of the financial reports filed with the Agency. The Survey remained open for comment until December 31, 2012, and 63 visitors to the OCF Web Site participated in the Survey.



## Key Performance Indicators – Details

### Performance Assessment Key:

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

	KPI	Measure Name	FY 2011 YE Actual	FY 2012 YE Target	FY 2012 YE Revised Target	FY 2012 YE Actual	FY 2012 YE Rating	Budget Program
	3.1	Percent of listings in the D.C. Register published before the statutory deadlines of February 15th and August 15th of each year.	100%	100%		100%	100%	Agency Management
	3.2	Percent of informal hearings conducted and closed before the next filing deadline.	86.79%	100%		100%	100%	Agency Management
	3.3	Percent of investigative matters closed within ninety days of opening.	62.5%	100%		100%	100%	Agency Management
	3.4	Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline.	100%	100%		100%	100%	Agency Management
	3.5	Percent of financial reports filed electronically	70.99%	75%		70.28%	93.71%	Agency Management
	3.6	Percent of Interpretative Opinions issued within thirty (30) days	100%	100%		100%	100%	Agency Management
	3.7	Percent of periodic random audits conducted of political committees following the January 31st and July 31st filing deadlines	100%	100%		128.57%	128.57%	Agency Management