



## **Office of Campaign Finance**

### **OCF (CJO)**

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#### **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 Website; and enforces the Act through the conduct of audits, investigations, and the informal hearing process.

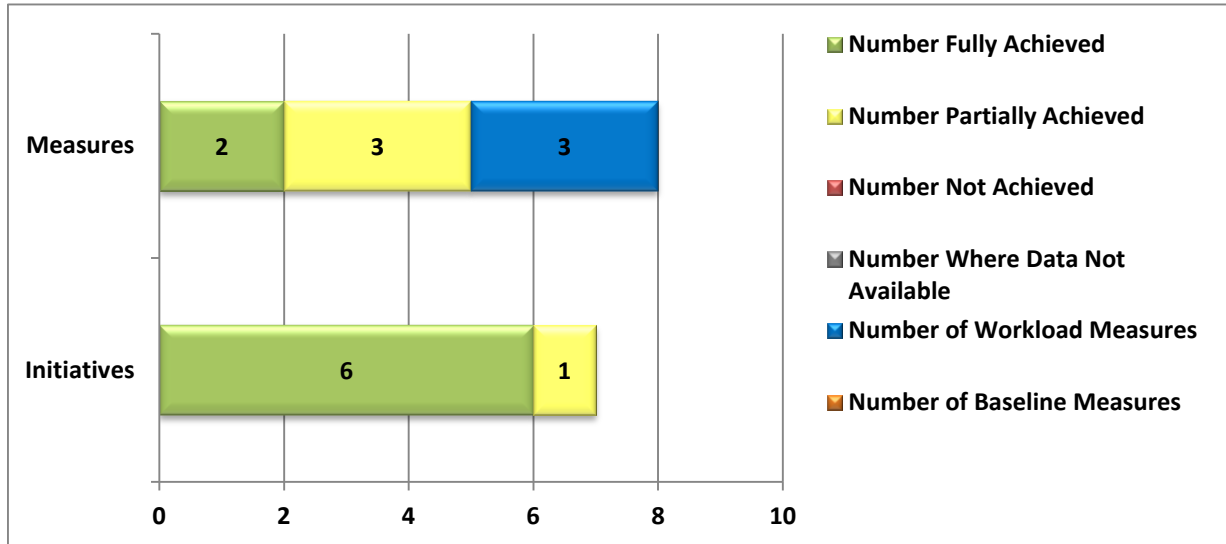
#### **ACCOMPLISHMENTS**

- ✓ Developed Entrance Conferences for new registrants to foster compliance with the Act.
- ✓ Introduced OCF Face Book Page.
- ✓ Enhanced OCF Web Site to report Summary Information from the Constituent Service and Statehood Fund Programs.

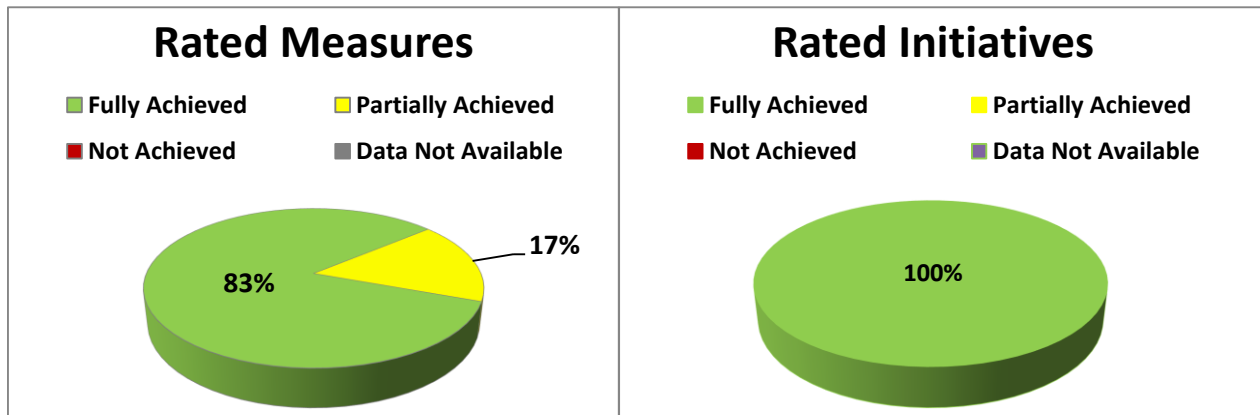


## OVERALL AGENCY PERFORMANCE

### TOTAL MEASURES AND INITIATIVES



### RATED MEASURES AND INITIATIVES



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

Default KPI Rating:	
>= 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 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.**

**This initiative was fully achieved.** On January 27, 2014, the OCF introduced at the OCF Web Site for use in the 2014 Election Cycle the newly revised Campaign Finance Guide and Educational Brochures for the Political Action, Exploratory, and Ballot Measure Committees, the Constituent Service and Statehood Fund Programs, and the ANC candidates. The Campaign Finance Guide summarizes the procedures and guidelines which govern the registration, financial reporting, and disclosure requirements of candidates, committees, and elected public officials in the District of Columbia. The Brochures offer critical information in a more concise fashion. On September 30, 2014, the new Brochures for the Inaugural, Legal Defense, and Transition Committees were presented at the Web Site for public viewing.

- On January 16, 2014, the OCF Face Book Page was established to further extend public outreach. Notice of the Face Book Page was posted at the OCF Website, with an icon provided to select and connect with the Page. The Page is used as an educational tool to post brief notices daily of upcoming filing and training dates, the release of orders and audits, and the posting of summary contributor and expenditure reports.

On May 21, 2014, a hyperlink was posted to the OCF Website Feature, the Geographical Contribution Locator, from which to view the most recent tally of contribution amounts for active candidates and committees by District Zip Code. The OCF commenced the analysis of the online/interactive training modules of more than 16 state campaign finance websites to assist with recommendations for the development of modules for use at the OCF Website. The on-site training sessions were conducted monthly from January 16, 2014 through December 11, 2014. The Notice of the 2014 Training Schedule was published at the Website on January 14, 2014, and enclosed in mailings through the OCF Pre-Notification Program to remind filers of the upcoming reporting deadlines.

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

- **This initiative was fully achieved.** During FY 2014, the Reports Analysis and Audit Division conducted 813 desk reviews of the financial reports of candidates and principal campaign committees, political action, initiative, and exploratory committees, and constituent service and statehood fund programs, as well as independent expenditure reports, 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 352 Requests for Additional Information (RFAI), and 242 auditees satisfactorily responded. The responses for 48 RFAIs are due in FY15. The



Audit Branch referred 62 matters to the Office of the General Counsel for the initiation of the enforcement process due to the failure to respond to the RFAI. Six (6) cases were subsequently withdrawn upon compliance, and the remainder was resolved through the informal hearing process.

The OCF initiated twenty-nine (29) periodic random and full field audits in FY14; and issued 23 Audit Reports (including four reports for audits initiated in FY13). Ten (10) audits remained open at the close of the fiscal year. At the close of FY 2014, there were 100 active principal campaign committees, 17 active political action committees, seven (7) exploratory committees, and two (2) independent expenditure committees. The Audit Branch terminated 39 political committees upon the approval of their Final Financial Report. The OCF for the first time initiated eleven (11) periodic audits of the financial reports of principal campaign committees active during the 2014 Election Cycle and two (2) full field audits of newly elected candidates to public office.

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

**This initiative was fully achieved.** During the 2014 Election Cycle, the Office of the General Counsel organized the conduct of site visits for the Early Voting Centers operated by the Board of Elections on March 24, 2014 (3 sites) for the April 1, 2014 Primary Election, and on July 9, 2014 (1 site) and July 11, 2014 (1 site) for the July 15, 2014 Special Election in Ward 8.

The Office of the General Counsel also organized the conduct of site visits for the Election Precincts operated by the Board during the April 1, 2014 Primary Election (76 sites) throughout the 8 Wards, and during the July 15, 2014 Special Election in Ward 8 (10 sites); and for the campaign offices of seven (7) candidates during February and March of 2014. The OCF staff was dispatched to observe activity in and around the Early Voting Centers and the Election Precincts, and the financial operations and activity of the campaign offices.

In October 2013, the OCF for the first time held Entrance Conferences for newly registered candidates and political committees. The Entrance Conference is designed to foster compliance with the Campaign Finance Laws. The conferences were coordinated by the General Counsel, and supported by staff from the Audit and Public Information Divisions. The conferences were held on October 17, 2013, November 14, 2013, January 23, 2014, April 24, 2014, and July 11, 2014. The names of the 52 participants were posted at the OCF Web Site and included in the monthly statistics presented to the Board.

The Office of Campaign Finance timely resolved 171 referrals on reporting deficiencies before the next filing deadline through the informal hearing process and issued 161 Orders of the Director. The Agency filed 9 Petitions for Enforcement before the Board; conducted two (2) investigations; resolved 12 complaints and 15 requests for advice emanating from reporting deficiencies associated with the 2014 Election Cycle; and presented one (1) case before the Board for referral to the U.S. Attorney for the District of Columbia.



**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.**

This initiative was fully achieved. During FY 2014, reporting entities timely filed 630 financial reports electronically, and submitted 86 paper reports. There were two elections conducted by the Board of Elections in this Fiscal Year, the April 1, 2014 Primary Election for the Offices of Mayor, Chairman, At-Large (1) and Ward (1,3,5, and 6) Member of the Council; and the July 15, 2014 Special Election in Ward 8 for State Member of the Board of Education.

- There were a minimum of thirteen (13) filing deadlines associated with these Elections, and the ongoing statutory filing deadlines for the continuing committees, and the constituent service and statehood fund programs. OCF successfully entered the 86 paper files into the unified database before the next filing deadline to ensure an accurate portrayal of campaign finance activity. The information was extracted to publish at the OCF Web Site, statistical reports and summary contribution and expenditure information following the close of each filing deadline, and 779 images of all financial reports filed during FY 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.**

**This initiative was fully achieved.** In FY 2013, 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 automated form for these filer types was made available on the OCF Web Site. A total of 12 Exploratory Committees registered and nine (9) electronically filed their financial reports with the OCF. To promote online filing by the newly established committees, the Agency developed Educational Brochures for the Transition, Inaugural, and Legal Defense Committees, which were published at the OCF Web Site on September 30, 2014, and dedicated the agenda for the onsite Training Seminars scheduled on October 9, 2014, November 13, 2014, and December 11, 2014 to educate the public about the reporting requirements for these new committees and the availability of the electronic filing system to file their financial reports online.

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

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

- **This initiative was partially achieved.** To aid in the assessment of the OCF Electronic Filing and Report System, the online Training Modules, and the OCF Web Site, 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.

Since June 2013, OCF has worked with the Office of the Chief Technology Officer to redesign with updated technology the OCF homepage layout and navigation scheme, which will incorporate a



smart search function. The redesign will require the migration of the OCF database content and EFs applications to the new DC.Gov Drupal content management system. During FY14, the Office of Campaign Finance enlisted the services of a vendor to assist with the redesign, rebuild, and integration of the EFs applications to the new DC.Gov Drupal platform. The EFs applications have been redesigned and are ready for migration. The new website redesign and navigational scheme is near completion. The expected launch date will occur in FY 2015.

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

**This initiative was fully achieved.** On August 27, 2014, the Office of Campaign Finance introduced 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 Web Site 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 sort the contributions received by the Programs by donor type and donation size, and the expenditures by purpose. Graphs are used to illustrate the percentages of contributions received by contributor type and amount, and expenditures by transaction type.



## Performance Indicators – Details

### Performance Assessment Key:

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

	KPI	Measure Name	FY 2013 YE Actual	FY 2014 YE Target	FY 2014 YE Revised Target	FY 2014 YE Actual	FY 2014 YE Rating	Budget Program
	1.1	Percent of investigative matters closed within ninety (90) days of opening	100%	100%		100%	100%	OVERSIGHT SUPPORT SERVICES
	1.2	Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline	100%	100%		100%	100%	OVERSIGHT SUPPORT SERVICES
	1.3	Percent of Interpretative Opinions issued within thirty (30) days	100%	100%		NA <sup>1</sup>	NA	OVERSIGHT SUPPORT SERVICES
	1.4	Percent of periodic random audits conducted of political committees following the January 31st and July 31st filing deadlines	108.33%	100%		75%	75%	OVERSIGHT SUPPORT SERVICES
	1.5	Total number of informal hearings conducted for noncompliance with the reporting requirements	113	Not Applicable		103	Not Rated Workload Measure	OVERSIGHT SUPPORT SERVICES
	1.6	Percent of informal hearings conducted and closed before the next filing deadline	103.67%	100%		95%	95%	OVERSIGHT SUPPORT SERVICES
	1.7	Total number of desk reviews conducted of financial reports and financial disclosure statements	953	Not Applicable		1,041	Not Rated Workload Measure	OVERSIGHT SUPPORT SERVICES
	2.1	Percent of financial reports filed electronically	75.25%	95%		89.73%	94.46%	OVERSIGHT SUPPORT SERVICES

<sup>1</sup> In FY14, there were no requests for Interpretative Opinions received. The OCF received 15 requests for expedited advice pertaining to the 2014 election. Because of time constraints, the requests were not treated as requests for interpretative opinions, although advice was sought concerning the application of the campaign finance laws.



	KPI	Measure Name	FY 2013 YE Actual	FY 2014 YE Target	FY 2014 YE Revised Target	FY 2014 YE Actual	FY 2014 YE Rating	Budget Program
●	3.1	Total number of financial reports received	1,002	Not Applicable		728	Not Rated Workload Measure	OVERSIGHT SUPPORT SERVICES