



Office of Campaign Finance OCF (CJ)

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.

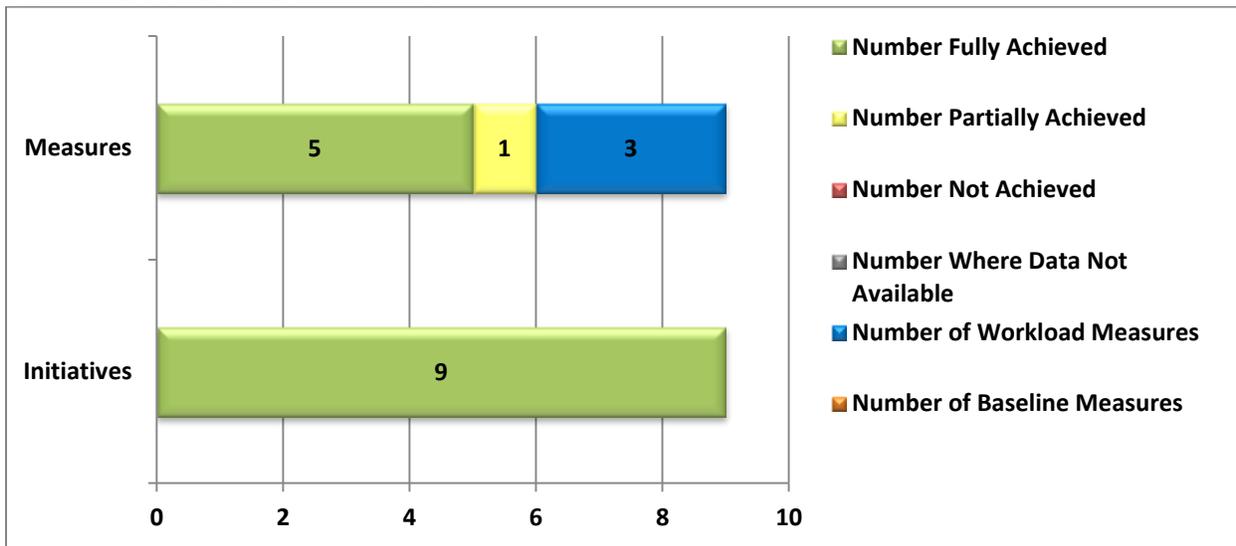
ACCOMPLISHMENTS

- ✓ Disseminated the 2013 Contribution and Expenditure Biennial Report to the Mayor, the Council, and the public
- ✓ Established units in the Legal and Audit Branches to better monitor campaign operations.
- ✓ Increased electronic filing rate by ANC candidates to 63%.

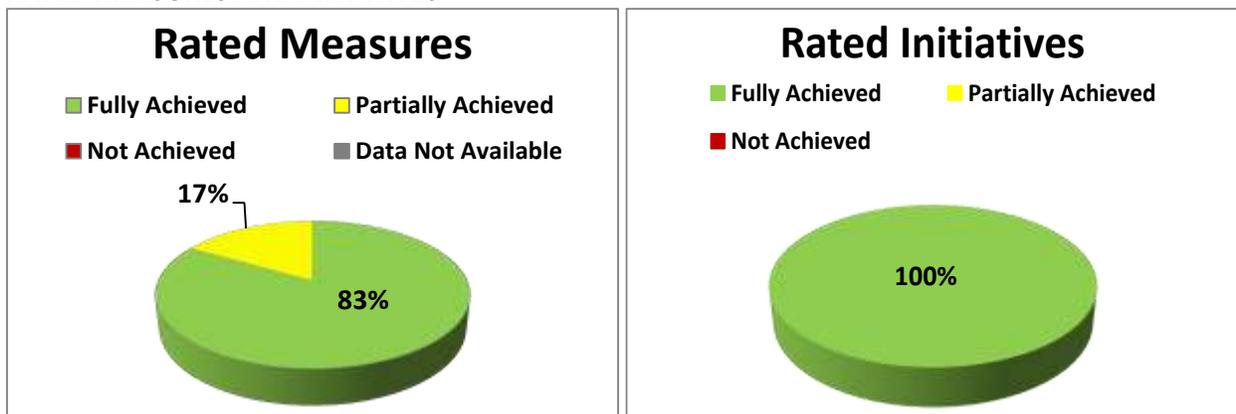


OVERALL AGENCY PERFORMANCE

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. During FY 2013, the proposed regulations of the Office of Campaign Finance (OCF) (59 DCR 41, October 12, 2012), were adopted by the Board of Elections as final on January 23, 2013 (60 DCR 6, February 8, 2013). The Rule Making represented a comprehensive overhaul of Title 3, "Elections and Ethics", Chapters 30- 37 of the DC Municipal Regulations, to conform the regulations governing the operations of the Office of Campaign Finance to the requirements of the Campaign Finance Act of 2011, effective April 27, 2012. Thereafter, OCF engaged in a further revision of its regulations for which final rule making action by the Board was adopted on August 7, 2013 (60 DCR 35, August 16, 2013). The new Regulations as a whole set forth in a clear, organized, and precise manner for the public and the reporting community, the financial requirements and obligations of the campaign finance laws. Beginning in June 2013, the Office of Campaign Finance has worked with the Office of the Chief Technology Officer to redesign the OCF homepage layout and navigation scheme, and to update the content of the Web Site, consistent with the changes in the campaign finance laws. The new web site is expected to launch during FY 2014. OCF continued to focus on the reporting requirements of the Campaign Finance Act of 2011 in its training sessions for the new committees established under the Act and for the constituent service program. The bi-weekly training seminars were conducted on-site from January 17, 2013 through December 12, 2013. The Notice of the 2013 Training Schedule was published at the OCF Web Site on January 15, 2013, and enclosed in mailings through the OCF Pre-Notification Program to remind reporting entities of the upcoming deadlines for the filing of financial reports.

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 2013, the Reports Analysis and Audit Division of the Office of Campaign Finance conducted 927 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 of the financial reports of persons who made independent expenditures, 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 188 Requests for Additional Information, and 178 auditees satisfactorily responded. The Audit Branch referred 34 matters to the Office of the General Counsel for the initiation of the enforcement process due to the failure to respond to the audit request. Sixteen (16) of these matters were withdrawn by the Audit Division where there was subsequent compliance; fourteen (14) matters were resolved through the informal hearing process; and fines



of \$5400.00 were imposed in the remaining four (4) cases. The OCF conducted a total of seventeen (17) periodic random, full field, and investigative audits, and issued sixteen (16) Final Audit Reports. At the close of FY 2013, there were 46 active principal campaign committees and 59 active political action committees. The Audit Branch terminated twelve (12) political committees upon the approval of their Final Report of Receipts and Expenditures. The Office of Campaign Finance produced and disseminated the OCF 2013 Biennial Report of Contributions and Expenditures to the Mayor and the 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.

This initiative was fully achieved. During FY 2013, the Office of the General Counsel coordinated the review of the OCF financial report forms by the Legal, Audit, and Public Information Divisions of the Agency, consistent with the changes mandated by the new Campaign Finance Act of 2011, as amended. The recommended revisions were incorporated in the modules for the electronic filing system. The Standard Operating Procedures for all Divisions of the Office of Campaign Finance were also revised, and adopted as final September 30, 2013, to conform to changes in the campaign finance laws. The Office of Campaign Finance received and timely issued three (3) Interpretative Opinions within thirty (30) days of receipt; and timely resolved 181 referrals on reporting deficiencies before the next filing deadline for each through the conduct of 86 informal hearings and the issuance of 160 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 six (6) investigations, filed 31 Petitions for Enforcement before the Board of Elections, presented one (1) case before the Board of Elections for referral to the United States Attorney' for the District of Columbia, and conducted five (5) Show Cause Proceedings to address reporting requirements emanating from deficiencies associated with candidates for the Office of Advisory Neighborhood Commission Member, participating in the November 2012 General Election conducted by the Board of Elections.

INITIATIVE 1.4: Reorganize the Structure of the Office of the General Counsel and the Reports Analysis and Audit Division.

This initiative was fully achieved. Due to the increase of funds for the personal services budget of the Office of Campaign Finance for FY 2013 for the purpose of funding sixteen (16) additional continuing full time positions, the Office of the General Counsel and the Reports Analysis and Audit Division were realigned, effective February 4, 2013. Units were established and additional personnel assigned within the Divisions with specific areas of responsibility to meet the demands of monitoring more complex campaign operations. The realignment will enable the Agency to become more resourceful in its audit and investigative programs. The Office of the General Counsel was organized into two (2) units, the Compliance Unit, and the Investigation Unit. The Reports Analysis and Audit Division was organized into three units, the Reports Analysis Unit, the Research Unit, and the Audit Unit.



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.

This initiative was fully achieved. During FY 2013, the Office of Campaign Finance once again aggressively advocated through educational outreach, the issuance of 1126 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, 757 financial reports were filed electronically out of a total of 985 financial reports filed, based on timely filings. In addition, electronic filing modules were developed in FY 2013 for the newly established Transition, Inaugural, and Legal Defense Committees, and will be made available for use at the OCF Web Site during FY 2014.

INITIATIVE 2.2: INITIATIVE 2.2: Promote electronic filing of ANC Summary Financial Statements.

This initiative was 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 sixty (60) days of the certification of the election results for these offices by the Board of Elections. Because the automated form was made available in FY11 close to the January 2011 filing deadline for ANC candidates, there was minimal opportunity to inform the public. On November 29, 2010, the Board certified the results of the November 2010 General Election, and there were 364 ANC candidates identified as required filers. 310 candidates timely filed their financial report by January 31, 2011, and 75 of these candidates electronically filed, which represented 24% of the total filers. Before and following the certification of the November 6, 2012 Election Results, the Office of Campaign Finance intensified its efforts to educate ANC candidates about the availability of electronic filing through the OCF on-site training seminars, online bulletins, and the issuance of reminder letters under the Filer Pre-Notification Program. There were 406 required filers identified following the certification of the General Election Results by the Board on November 29, 2012. 370 candidates timely filed their reports by January 31, 2013, and of the total filers, 233 electronically filed their reports. This represented an increase of 39% from the 24% achieved in 2011, to the 63% electronic filing rate achieved in 2013.

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.

This initiative was fully achieved. During FY 2013, reporting entities filed 757 financial reports electronically, and submitted 228 paper reports. There were three Elections conducted by the Board of Elections in this Fiscal Year, the November 6, 2012 General Election for the Offices of President and Vice President of the United States, Delegate to the U.S. House of Representatives, At-Large and Ward Members of the Council and the State Board of Education, U.S. Senator (Shadow Representative) and Representative (Shadow Representative), Advisory Neighborhood Commission Member; the November 6, 2012 Special Election for the Office of Chairman of the Council of the District of Columbia; and the April 23, 2013 Special Election for At-Large Member of



the Council of the District of Columbia, and to consider Proposed Charter Amendment VIII . There were a minimum of thirteen (13) filing deadlines associated with these Elections, and the ongoing statutory filing deadlines for the continuing political committees, and the constituent service and statehood fund programs. OCF successfully entered the 228 paper files into the unified database before the next filing deadline to ensure an accurate portrayal of campaign financial 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 to publish at the Web Site, 1092 images of the financial reports filed during FY 2013.

INITIATIVE 2.4: 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 and the filing of financial reports by 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. The modules for the electronic format of the financial reports of the Transition, Inaugural, and Legal Defense Committees have been developed, and will be introduced at the OCF Web Site in FY 2014. The Report of Receipts and Expenditures Form was developed for the Exploratory Committees and made available at the OCF Web Site for electronic filing during FY 2013. The registration module for Exploratory Committees was also made available for administrative use by OCF staff.

OBJECTIVE 3: Disseminate Financial Disclosure Records and Statistical Reports.

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

This initiative was fully achieved. To aid in the assessment of the ability of the OCF Web Site to deliver relevant information and services, the Office of Campaign Finance launched an online survey on October 3, 2012 for public comment. The survey closed on January 13, 2013, and 70 visitors to the OCF Web Site participated in the survey. The Survey Analysis Report found that overall most respondents were satisfied with the site information and services, while some expressed difficulties navigating the site and locating services, and with browser compatibility. As a consequence, in June 2013, OCF enlisted the assistance of the Office of the Chief Technology Officer with the redesign of the OCF homepage layout and navigation scheme, and the improvement of browser compatibility. It is anticipated that the new OCF Web Site will launch during FY 2014.



Key Performance Indicators – Details

Performance Assessment Key:

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

	KPI	Measure Name	FY 2012 YE Actual	FY 2013 YE Target	FY 2013 YE Revised Target	FY 2013 YE Actual	FY 2013 YE Rating	Budget Program
●	1.1	Percent of investigative matters closed within ninety 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%		100%	100%	OVERSIGHT SUPPORT SERVICES
●	1.4	Percent of periodic random audits conducted of political committees following the January 31st and July 31st filing deadlines	128.57%	100%		108.33%	108.33%	OVERSIGHT SUPPORT SERVICES
●	1.5	Percent of informal hearings conducted and closed before the next filing deadline	100%	100%		103.67%	103.67%	OVERSIGHT SUPPORT SERVICES
●	1.6	Total number of informal hearings conducted for noncompliance with the reporting requirements	102	Target Not Required		113	Workload Measure Not Rated	OVERSIGHT SUPPORT SERVICES
●	1.7	Total number of desk reviews conducted of financial reports and financial disclosure statements	639	Target Not Required		953	Workload Measure Not Rated	OVERSIGHT SUPPORT SERVICES
●	2.1	Percent of financial reports filed electronically	70.28%	80%		75.25%	94.06%	OVERSIGHT SUPPORT SERVICES
●	3.1	Total number of financial reports received	775	Target Not Required		1,002	Workload Measure Not Rated	OVERSIGHT SUPPORT SERVICES