



# Office of Campaign Finance (OCF) FY2016 Performance Accountability Report (PAR)

## **Introduction**

The Performance Accountability Report (PAR) measures each agency's performance for the fiscal year against the agency's performance plan and includes major accomplishments, updates on initiatives' progress and key performance indicators (KPIs).

## **Mission**

The mission of the Office of Campaign Finance (OCF) is to regulate and provide public disclosure and transparency to protect and 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. OCF also performs 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 Web Site; and enforces the Act through the conduct of audits, investigations, and the informal hearing process.

## Overview – Agency Performance

The following section provides a summary of OCF performance in FY 2016 by listing OCF’s top accomplishments, and a summary of its progress achieving its initiatives and progress on key performance indicators.

### Top Agency Accomplishments

Accomplishment	Impact on Agency	Impact on Residents
Expanded the OCF Educational Program to introduce an interactive online training tutorial on the basics of the Campaign Finance Laws necessary to launch a successful campaign. The tutorial invites the user to test their knowledge and understanding of the information presented.	The Agency continues to explore the use of its Web Site to reach the broadest audience for public education, and increase voluntary compliance with the reporting requirements, contribution limitations, and prohibitions of the Campaign Finance Laws.	The Interactive Training Tutorial provides a further opportunity for the public to become familiar with and understand the laws of the District of Columbia which govern campaign operations in order to ensure their compliance with the reporting requirements, the contribution limitations, and the prohibitions of the laws.
Achieved 100% compliance with the legislative mandate for newly registered candidates and the treasurers of newly organized committees to attend training on their duties and responsibilities under the Campaign Finance Act. The Office of Campaign Finance issued Certificates of Attendance to each of the 80 candidates and treasurers who registered during FY2016 and swore or affirmed to follow the Campaign Finance Laws.	The 100% compliance rate promotes voluntary compliance with the Campaign Finance Laws as demonstrated through the 100% compliance rate achieved with the electronic filing program, and the overall 99% compliance rate achieved for the filing of Reports of Receipts and Expenditures by newly registered candidates and treasurers who attended the mandatory training.	The 100% compliance rate assures the residents of the District of Columbia that the filing community has participated in, and received training to specifically address their obligations under the Campaign Finance Laws, and made a commitment to comply with those laws.
Achieved a 100% compliance rate with the legislative mandate to file all financial reports online at the OCF Web Site. 642 of the 642 total reports received during FY2016 were filed electronically.	The 100% compliance rate with the electronic filing mandate eliminated the time consuming and tedious task for the Agency to manually data enter the financial transactions reported by paper submission.	The submission of financial reports online provides the public with real time access to the financial transactions reported by candidates, committees, and the Constituent Services and the Statehood Fund Programs.

In FY 2016, OCF had 6 Key Performance Indicators. Of those, 0 were neutral, and another 1 were not able to be reported by the end of the fiscal year. Of the remaining measures, 80% (4 KPIs) were met, 20% (1 KPIs) were nearly met, and 0% (0 KPIs) were unmet. In FY 2016, OCF had 8 Initiatives. Of those, 100% (8) were completed and 0% (0) were nearly completed, and 0% (0) were not completed. The next sections provide greater detail on the specific metrics and initiatives for OCF in FY 2016.

## FY16 Objectives

Division	Objective
Agency Management	Obtain full and complete disclosure of documents and actions relevant to the Campaign Finance Act through efficient and effective educational, audit, and enforcement programs and activities.
Agency Management	Assimilate, maintain, and compile financial disclosure records received through electronic filing and by hard copy into an integrated, relational database.
Agency Management	Disseminate Financial Disclosure Records and Statistical Reports in a timely, efficient, and useful manner.

## FY16 KPIs

Objective: Obtain full and complete disclosure of documents and actions relevant to the Campaign Finance Act through efficient and effective educational, audit, and enforcement programs and activities.

Measure	Target	Freq	Q1	Q2	Q3	Q4	Total	KPI Status	KPI Barriers
Percent of investigative matters closed within ninety (90) days of opening	100	Q							
Percent of informal hearings conducted and closed before the next filing deadline	100	Q	100	100	100	100	100	Met	
Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline	100	Q	100	100	100	100	100	Met	
Percent of Interpretative Opinions issued within thirty (30) days	100	Q			100		100	Met	
Percent of expedited advice for time-sensitive election related matters issued within fifteen (15) days of request	100	Q	100	100	100	100	100	Met	
Percent of periodic random audits conducted within sixty (60) days of initiation	100	Q	100	100	80	100	93.8	Nearly Met	

# FY16 Workload Measures

Measure	Freq	Q1	Q2	Q3	Q4	Total
Total number of mandatory training conferences conducted	Q	12	7	7	8	34
Total number of financial reports filed electronically	Q	147	209	91	163	610
Total number of financial reports filed	Q	147	209	91	163	610

## FY16 Initiatives

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

**Description:** The Office of Campaign Finance will conduct at least four (4) periodic audits of the financial reports of principal campaign committees active during the 2016 election cycle following the December 10th, the March 10th, and the August 10th Filing Deadlines. At the close of each statutory filing deadline, the OCF will review the financial reports of candidates, political committees, political action committees, independent expenditure committees, and the constituent service and Statehood fund programs, for compliance with the reporting requirements; randomly audit the activity reports of the constituent service and Statehood fund programs following the close of the October 1st and the April 1st Filing Deadlines; and refer violations of the Campaign Finance Act to the General Counsel for enforcement. The desk review of financial reports and the conduct of periodic random audits are ongoing audit activities.

**Complete to Date:** Complete

**Status Update:** During FY16, the Agency issued one (1) Investigative Audit, four (4) Audits of Newly Elected Officials, and 19 Periodic Audits of candidates active in the 2015 and 2016 Election Cycles, Political Action Committees, and the Constituent Service Programs. The Audit Branch conducted 727 desk reviews of financial reports; issued 174 Requests for Additional Information, 91 auditees satisfactorily responded, and 66 are due in FY17; and referred 17 cases for enforcement, 9 were withdrawn. The Audit Branch approved 37 committees for termination.

### **Title: Promote compliance with the Campaign Finance Act.**

**Description:** The Office of the General Counsel will organize the conduct of site visits to the Early Voting Centers and to at least ten (10) of the Election Precincts operated by the Board of Elections in each of the eight (8) Wards during the June 14, 2016 Federal and Local Primary Election in the District of Columbia, and to the business offices of the principal campaign committees of candidates for local elective office, as well as to the offices of any other committees under the purview of the Office of Campaign Finance. The OCF staff will be dispatched to observe the activity in and around the Voting Centers and Precincts, and the financial operations and activity of the offices of the various entities registered with the OCF. The staff will provide counsel upon request and where necessary concerning the proper application of the campaign finance laws.

**Complete to Date:** Complete

**Status Update:** Site visits were organized to the Early Voting Centers and to 85 Election Precincts during the June 2016 Primary Election; and to the campaign offices of active candidates (3). Staff provided counsel where necessary. The OGC resolved 115 referrals on reporting deficiencies through informal hearings and issued 113 Orders of the Director. The Agency filed 40 Enforcement Petitions before the Board of Elections; completed one (1) investigation; issued two (2) interpretive opinions; and resolved 17 requests for advice on election related issues.

### **Title: Obtain full disclosure and increase voluntary compliance through the OCF Educational Program.**

**Description:** The Office of Campaign Finance will develop, design, and introduce interactive training tutorials. The interactive training modules will invite the user to test their knowledge of the information presented. During the 2016 election cycle the OCF will increase its outreach services and activities at the OCF Website and Facebook Page, through the issuance of reminder letters of impending report dates, and the mandatory and bi-weekly training sessions to disseminate clear guidance and reinforce the most recent changes in the campaign finance laws mandated by the 'Campaign Finance Reform and Transparency Act of 2013'. The OCF will schedule and conduct Mandatory Training for each candidate for public office and the treasurer of each political committee, political action committee, or independent expenditure committee, within fifteen (15) calendar days of their registration with the Agency. The training will address the obligations and responsibilities of the new registrants under the Campaign Finance Act, and how best to achieve compliance. The OCF will schedule and conduct bi-weekly training sessions, commencing January 2016 for the continuing committees, the candidates and treasurers who register to participate in the 2016 Election Cycle, and for the constituent service and Statehood fund programs. The OCF will circulate surveys to the training participants during each onsite seminar to determine if the presentation achieved targeted satisfaction.

**Complete to Date:** Complete

**Status Update:** The OCF revised online tutorials for the successful e-filing of financial reports; published an interactive module to provide campaign finance law basics, and allow the user to test their understanding of the law; developed an online tutorial on the ANC candidate reporting requirements; and created a Twitter Account. Held 29 onsite training seminars and mandatory conferences, and included ANC candidate training for the first time. Issued 113 Certificates of Attendance to new candidates and treasurers.

**Title: Complete the data entry of all financial records received by hard copy into the database before the next filing deadline.**

**Description:** During FY15, 72.25% (757 of 985) of all financial reports filed with the Office of Campaign Finance were received electronically online at the OCF Web Site; and 228 paper reports were submitted. The number of paper reports submitted dramatically decreased after January 31, 2015, the effective date of the mandatory online filing requirement, except where actual hardship in complying was demonstrated. In FY15, there were approximately six (6) statutory filing deadlines which occurred on or before January 31, 2015 and five (5) statutory filing deadlines subsequent thereto. The remaining 25% (paper reports), at a minimum, of the total reports filed required data entry. The data entry must be completed prior to the next filing deadline to present an accurate portrayal of campaign activity. During FY16, it is anticipated the electronic filing statistics will continue to increase because of the mandatory online filing requirement, and the receipt of paper submissions will continue to require timely data entry.

**Complete to Date:** Complete

**Status Update:** In FY16, 100% of the 642 financial reports filed were e-filed at the OCF Web Site. There were a minimum of eleven (11) filing deadlines associated with the June 14, 2016 Primary Election, the pending November 8, 2016 General Election, and the Constituent Services and Statehood Fund Programs. The decline in paper submissions is directly attributable to the enactment of the 'Campaign Finance Reform and Transparency Act of 2013', which mandates the electronic filing of all reports unless actual hardship is demonstrated.

**Title: Fully administer the requirement for mandatory electronic filing of all financial reports by all reporting entities.**

**Description:** During FY15, the Office of Campaign Finance fully implemented those provisions of the 'Campaign Finance Reform and Transparency Amendment Act of 2013', applicable January 31, 2015, which require the online submission of all reports filed with the OCF, unless actual hardship in complying is demonstrated. The OCF will utilize the Mandatory Training Program during the 2016 election cycle to inform newly registered candidates and the committee treasurers of the mandatory online filing requirement. To foster compliance by the continuing committees and other filers, the OCF will continue to utilize the OCF Web Site, the OCF Facebook Page, the OCF Forms, the biweekly training seminars, and the issuance of reminder letters under the Filer Pre-Notification Program, to reinforce notice of the mandatory online filing requirement.

**Complete to Date:** Complete

**Status Update:** During FY16, the OCF achieved a 100% compliance rate with the mandate to e-file all financial reports at the OCF Web Site. 642 of the 642 total reports received were electronically filed. The OCF fully utilized its Educational Training Program, Website, Social Media Platforms, and Filer Pre-Notification Program to reinforce to the filing community the legislative mandate to submit all financial reports online with the OCF, unless actual hardship in complying is demonstrated.

**Title: Upgrade of the Electronic Filing System.**

**Description:** In FY16, the Office of Campaign Finance will upgrade the OCF Electronic Filing and Disclosure System to provide for an import module which will enable the import of contribution and expenditure records from either Excel or an XML template using pre-approved spreadsheets. This upgrade will eliminate the data entry of these records.

**Complete to Date:** Complete

**Status Update:** During FY 2016, the Office of Campaign Finance upgraded the Electronic Filing and Disclosure System to create a module which will allow the filer of financial reports to import contribution (Schedule A) and expenditure (Schedule B) records from pre-defined Excel template files. This feature will be made available to the filing community on November 4, 2016 to assist with the submission of the December 10, 2016 Report of Receipts and Expenditures.

**Title: Ensure the Timely Dissemination and Transparency of Financial Reports.**

**Description:** During FY16, the Office of Campaign Finance will employ an online survey to evaluate the effectiveness and efficiency of the OCF Web Site to deliver relevant information and services following the redesign and modernization of the Web Site and E-Filing System in FY15 to improve data access, system performance, and the navigation scheme. The results of the survey will aid the OCF in its ongoing effort to ensure the disclosure, transparency, and easy access by the public of the financial reports filed with the Agency.

**Complete to Date:** Complete

**Status Update:** The Office of Campaign Finance created and deployed an online survey in August 2016 for the public by link at the OCF Homepage, and for users of the e-filing applications by popup to assess the redesigned OCF E-Filing Applications and Web Site, launched on April 15, 2015. The survey will close at the OCF Web Site on December 31, 2016 for comments, and the results will be provided to the OCF for review.

**Title: Increase Availability of Summary Information.**

**Description:** During FY16, the Office of Campaign Finance will research, compile and publish comparative studies of campaign finance activity by various types of candidates and committees from past elections based on the OCF Biennial Reports of Contribution and Expenditure Information to depict increases or decreases in receipts or spending from prior election cycles.

**Complete to Date:** Complete

**Status Update:** On October 26, 2015, the online 'Quick Stats' Search Module was deployed to provide a quick view of data specific to principal campaign committees, including the top 10 committees by total contributions received by denomination or contributor type, and by total loans, where selected by specific year or date range. Pie charts depict the data in percentage terms. The data is extracted from the OCF Database, and allows for the comparison of the committees viewed. More refined data summaries will be introduced in FY17.