

DISTRICT OF COLUMBIA

OFFICE OF CAMPAIGN FINANCE



AGENCY RESPONSES TO QUESTIONS OF THE

Committee on the Judiciary and Public Safety

Council of the District of Columbia

On the

FY19 Performance of the Office of Campaign Finance

Submitted

February 07, 2020



OFFICE OF CAMPAIGN FINANCE
DISTRICT OF COLUMBIA BOARD OF ELECTIONS
1015 HALF STREET, SE, SUITE 775 | WASHINGTON, D.C. 20003 | (202) 671-0547

February 07, 2020

The Honorable Charles Allen
Member of the Council of the District of Columbia from Ward 6
Chairperson, Committee on the Judiciary & Public Safety
The John A. Wilson Building
1350 Pennsylvania Avenue, NW, Suite 110
Washington, D.C. 20004

Dear Chairperson Allen:

This is to submit on behalf of the Office of Campaign Finance (OCF), the enclosed Responses to your Questions regarding the performance of the Agency during Fiscal Year 2019.

If you require additional information, please let me know.

Respectfully,

Cecily E. Collier-Montgomery
Director

Enclosure

**Responses to Performance Oversight Pre-Hearing Questions:
Office of Campaign Finance
February 7, 2020**

GENERAL QUESTIONS

- 1. Please provide a current organizational chart for the agency, including the number of vacant, frozen, and filled positions in each division or subdivision. Include the names and titles of all senior personnel and note the date that the information was collected on the chart.**

RESPONSE:

The Office of Campaign Finance (OCF) is organized into four major divisions which operate under the direction of the Office of the Director: the Office of the General Counsel (OGC); the Reports Analysis and Audit Division (RAAD); the Public Information and Records Management Division (PIRM); and the Fair Elections Program Division (FEP). The current Organizational Structure and Staffing Chart (February 2020), and Organizational Charts for each OCF Division (February 2020) (**Attachment A**) are attached. The Office of Campaign Finance Functional Organization Chart (February 2020) is attached and provides a breakdown of the responsibilities of each OCF Division. **See Attachment B.** The OCF currently has thirty-five (35) continuing full time positions.

- a. Please provide an explanation of the roles and responsibilities of each division and subdivision.**

The Office of the Director is responsible for planning, directing and coordinating the administrative operations of the District of Columbia Board of Elections (the “Board”) pertaining to the Campaign Finance Act of 2011, as amended, and for the administration of the Fair Elections Amendment Act of 2018, D.C. Law 22-94, effective May 5, 2018, and applicable November 7, 2018, as amended. The Director establishes policy and institutes clear directives to ensure the reasonable enforcement and administration of the Campaign Finance Laws.

The Office of the Director issues interpretative opinions; initiates investigations and informal hearings on violations of the Campaign Finance Act, as amended, and issues final decisions and imposes fines, where appropriate; and plans, directs, and coordinates the overall programs, as well as the administrative and legal functions of the Agency, and the educational outreach

services. The administrative function of the Office of the Director includes budgeting, managing the Fair Elections Fund, procurement, personnel, and overseeing the administration of the OCF Web Site, the Electronic Filing and Disclosure System, and the preparation of post - election reports, including the Biennial Report and the overview of the Fair Elections Program.

By way of background, the “Fair Elections Amendment Act of 2018” (the “Fair Elections Act”) dramatically changed the mode of financing campaign operations in the District of Columbia by offering candidates for elective office, except for candidates for the Office of Member of an Advisory Neighborhood Commission, the opportunity to qualify for the public funding of their political campaigns. The Fair Elections Act establishes the Fair Elections Program (the “Program”) within the Office of Campaign Finance and charges the Agency with the responsibility to administer the laws and regulations governing the Program; to promulgate procedures to govern the audit and verification of qualified small dollar contributions for compliance with the requirements of the Program; to authorize the payment of base amount and matching payments from the Fair Elections Fund, and to oversee the remission of funds; and to review and evaluate the Program following each election cycle, and submit reports to the Mayor, the Council, and to the public concerning the status of the Program and its effect on campaigns. The Fair Elections Fund is a special non-lapsing fund created for use solely for the distribution of payments to candidates who qualify to participate in the Program, and for the costs of administering the Fair Elections Program.

The Fair Elections Program is voluntary, and prescribes distinct contribution limits, expenditure prohibitions, and reporting requirements. The regulation of the financial operations of those candidates, who do not elect to participate in the Program, will remain subject to the existing reporting requirements of the Campaign Finance Act.

The Office of the General Counsel (OGC) is responsible for enforcement through directing investigations, conducting hearings, and rendering recommendations for decisions on charges of violations of the Campaign Finance Act, as amended. The Office of the General Counsel prepares draft regulations, recommends legislative changes, reviews OCF Forms for changes, administers the Freedom of Information Act (FOIA), and interprets the Campaign Finance Act for appropriate application. This Office is also responsible for promoting through educational

outreach (training seminars and mandatory entrance conferences) voluntary compliance for all filings, registrations, and activity requirements mandated by the Act.

The Reports Analysis and Audit Division (RAAD) is responsible for performing the audit analysis and review of all financial reports and other documents filed with the Agency in the traditional Campaign Finance Program. The Division conducts field audits and investigations based upon deficiencies and conditions noted during the Desk Reviews of the Reports of Receipts and Expenditures filed with the Agency. The Division conducts periodic field audits and compiles statistical reports and summaries for all Reports of Receipts and Expenditures submitted by candidates, committees, and the Constituent Service and Statehood Fund Programs. This program area is the primary generator of compliance actions through audits and the monitoring of the financial disclosure of the financial operations of the Constituent Service and Statehood Fund Programs; candidates, principal campaign committees, and political committees in the traditional Campaign Finance Program; and political action committees and independent expenditure committees.

The Public Information and Records Management Division (PIRM) is responsible for providing public information online at the OCF Website and onsite in the OCF Offices; managing the registration of candidates and committees in the Traditional Campaign Finance Program and in the Fair Elections Program, and of the Constituent Service and Statehood Fund Programs; managing the electronic filing of financial reports, the data entry of paper submissions, and the online disclosure of information submitted by filers pursuant to the Campaign Finance Act within 24 hours of filing in a sortable and searchable format at the OCF Website; making all reports and statements available for public inspection within forty-eight hours of receipt as statutorily mandated; administering the records management and retention programs; and compiling information for listings and reports published in the Biennial Report. The Division conducts the Filer Pre-Notification and Failure to File Programs.

The Fair Elections Program Division is responsible for the verification of the contribution reports and other documents received in the Office from candidates participating in the Fair Elections Program or seeking certification in the Program. The Division makes recommendations for the certification of candidates into the Fair Elections Program and the authorization of Base Amount

and Matching Payments; initiates referrals to the OGC for non-compliance actions and responds to appeals from Agency actions before the Board of Elections; conducts full field audits of the campaign operations of participating candidates at the submission of their final financial reports; coordinates educational outreach for participating candidates and candidates seeking certification, and the public; coordinates the Debate Program; collects data from financial reports for post-election reports; and manages the remission of funds.

b. Please provide a narrative explanation of any changes to the organizational chart made during the previous year.

First, to distinguish the public funding program from the private funding program, the Office of Campaign Finance determined that the responsibilities of the Agency associated with the certification of candidates to participate in the Fair Elections Program, and the management of the Elections Fund, warranted the organization of a Division solely dedicated to the Fair Elections Program. Effective December 14, 2018, the Office of Campaign Finance was reorganized by Administrative Issuance No. 2018-01, to establish the Fair Elections Program Division.

The FY 2019 Budget for the Office supported the organization of the Fair Elections Program Division within the Agency. The FY 2019 Budget included an enhancement for the implementation of the Fair Elections Program in the amount of \$860,000 for administrative costs associated with the procurement of services for the design and development of an online financial reporting system unique to the pre-certification and post certification accounting mandated by the Fair Elections Act; the overhaul of the OCF Website to include information about the program; increases in the personal services budget to fund three (3.0) Full-Time Equivalent (FTEs) Auditor positions; and to support primary and general election financing for the 2020 Election Cycle. In addition, a personal service increase of \$260,558 was identified for two (2.0) Full-Time Equivalents (FTEs): a Fair Elections Program Manager to oversee the Program and serve as a point person for community engagement; and a Chief Technology Officer to oversee the technological aspects of the Program. The title of the Chief Technology Officer Position was changed by the Department of Human Resources during the Classification of the Position to Information Technology Specialist.

To further ensure the success of the Program, the Agency reassigned two (2.0 FTEs) Auditor Positions from the Reports Analysis and Audit Division to the Fair Elections Program Division; and identified one (1.0 FTE) Attorney Advisor Position in the Office of the General Counsel as the point person to assist with any issues pertaining to the Fair Elections Program. It is anticipated that the participation of candidates and committees in the traditional Campaign Finance Program will diminish due to the availability of the Fair Elections Program as an alternative to the financing of campaign operations. Therefore, the changes in the staffing levels will not affect the production of either Division.

The staffing level of the Reports Analysis and Audit Division decreased from thirteen (13 FTEs) Auditor Positions to eleven (11) Auditor Positions. The staffing level of the Office of the General Counsel did not change. The Attorney Advisor LS-13 Position serves as the primary liaison between the Office of Campaign Finance and candidates, treasurers, their staff, and the public, and provides one on one guidance on matters concerning the Fair Elections Program; assists the Fair Elections Manager with the interpretation and application of the Fair Elections Act and its implementing Regulations; works with the Office of the General Counsel to address violations of the reporting requirements; and assists the Fair Elections Program Manager and the OCF Training Officer with the conduct of mandatory and public trainings, and community outreach. It should be noted that notwithstanding the reassignment of positions from the Audit Division, all staff have been cross trained to enable the performance of responsibilities under the Fair Elections Act, as needed.

Second, under the former OCF structure, the responsibilities of the RAAD Division were established in three Units: the Reports Analysis Unit which conducts Desk Reviews of all financial reports; the Audit Unit which conducts Periodic Audits in each filer group, Full Field Audits of newly elected public officials, and Investigative Audits; and the Research Unit which was responsible for research and data collection. The Realignment of the RAAD Division eliminated the Research Unit, which no longer served a critical purpose based on recent changes in the Campaign Finance Laws and the operating procedures of the Agency. D.C. Law 20-79, the “Campaign Finance Reform and Transparency Act of 2013”, effective February 22, 2014, and made applicable January 31, 2015, requires a business entity to share the contribution limits

with its affiliated entities. A business entity which makes contributions must disclose the identity of their related entities for reporting on the Report of Receipts and Expenditures. Subsequent to the enactment of these revisions to the Campaign Finance Act, the Standard Operating Procedures of the Office of the General Counsel (OGC) and the Public Information Records Management Division were revised to incorporate a process for the automatic review of all business contributions by the OGC to better monitor compliance with the Act. The degree to which the Office of Campaign Finance utilizes its Audit Branch to research the relationships of business contributors has been minimized. Following each filing deadline for the submission of Reports of Receipts and Expenditures, the PIRM Division generates and forwards to the OGC a sampling of the data of at least fifty (50) business contributors from each Financial Report for the review and verification of any associated affiliated entities. The Office of the General Counsel conducts a review of the business contributions to verify through various research tools that the contributions do not exceed the contribution limitations. The General Counsel must identify the associated affiliated entities of the business contributor which may have also given contributions to the same committee as the business contributor. Where the failure to disclose affiliated entities occurs, the Office of the General Counsel must undertake the research necessary to determine the business relationships, and whether the contribution limits have been exceeded. Because of this process, the resources of the Audit Division have been better utilized through the reassignment of the positions formerly assigned to the Research Unit between the Reports Analysis Unit and the Audit Unit.

- 2. Please provide a current Schedule A for the agency which identifies each position by program and activity, with the employee's title/position, salary, fringe benefits, and length of time with the agency. Please note the date that the information was collected. The Schedule A should also indicate if the position is continuing/term/temporary/contract or if it is vacant or frozen. Please separate salary and fringe and indicate whether the position must be filled to comply with federal or local law.**

RESPONSE:

The complete and current Schedule A as of February 2020, for the Office of Campaign Finance is attached. The Schedule A identifies each position by program and activity, with the employee's name, title/position, salary, fringe benefits, including the specific grade, series, and step of position, and length of time with the Agency; whether the position held is

continuing/term/temporary/contract, or vacant and/or frozen; and whether the position must be filled to comply with federal or local law. **See Attachment C.**

- 3. Please list all employees detailed to or from your agency during FY19 and FY20, to date. For each employee identified, please provide the name of the agency the employee is detailed to or from, the reason for the detail, the date of the detail, and the employee's projected date of return.**

RESPONSE:

During FY 19, and FY 20, to date, the Office of Campaign Finance did not detail any employees from the Agency, nor were employees detailed to the Agency.

- 4. Please provide the Committee with:**

- a. A list of all vehicles owned, leased, or otherwise used by the agency and to whom the vehicle is assigned, as well as a description of all vehicle collisions involving the agency's vehicles in FY19 and FY20, to date; and**

RESPONSE:

The Agency has one (1) Vehicle, a 2018 Toyota Corolla Sedan. The Vehicle is assigned to Nadine Journiette, the Administrative Officer, and to April Williams, the Administrative Assistant. The Vehicle is used exclusively for government business. The Vehicle was not involved in any collisions in FY19, or FY 20 to date. During FY19, and FY20, to date, the Office of Campaign Finance entered into a lease agreement for the vehicle (Toyota Corolla Sedan) with the Department of Public Works at an annual cost of \$4,618.00.

- b. A list of travel expenses, arranged by employee for FY19 and FY20, to date, including the justification for travel.**

RESPONSE:

The list of travel expenses arranged by employee for FY19 and FY20, to date, including the justification for the travel is attached. **See Attachment D.**

- 5. Please list all memoranda of understanding ("MOU") entered into by the Agency during FY19 and FY20, to date, as well as any MOU currently in force. For each, indicate the date on which the MOU was entered and the termination date.**

RESPONSE:

The list of all MOUs/Intra-District Transfers in place during FY19 and FY20, to date, is attached with the requested information. **See Attachment E.**

6. Please list the ways, other than MOU, in which the Agency collaborated with analogous agencies in other jurisdictions, with federal agencies, or with non-governmental organizations in FY19 and FY20, to date.

RESPONSE:

The agency has forged working relations with local and state Campaign Finance agencies across the country, including with campaign finance agencies located in Annapolis, Maryland, New York, New York, and Connecticut. As the Committee was previously informed, the OCF met with Campaign Finance Officials in New York City, New York, and Annapolis Maryland, during the latter part of Fiscal Year 2018, to discuss the respective public financing programs of both jurisdictions. The Office of Campaign Finance has continued in FY19 and FY20, to date, to research how various jurisdictions administer their public financing programs through the examination of their statutes, regulations, forms, brochures, guides, training materials, and post-election reports.

Most recently, in February of 2019, the Office of Campaign Finance consulted the New York City Campaign Finance Board and the Public Financing Unit of the Citizen's Election Program for the Connecticut State Elections Enforcement Commission to determine the reasoning behind the minimum reportable contributions which may be matched, for listings of what constitutes the appropriate expenditure of public funds by campaigns, and any factors used to determine who participates in debates and moderates debates. The Agency solicited the information to assist with the drafting of regulations to fully implement the Fair Elections Program. The Agency also consulted the Director of Auditing and Accounting for the NYCCFB in December 2018 concerning the verification process used when administering the public financing program, and in April 2019 concerning the processing of credit card contributions.

Further, members of the Office of Campaign Finance Staff participated in the 2018 Council on Government Ethics Laws (COGEL) Conference in Philadelphia Pennsylvania in December 2018, and the 2019 COGEL Conference in Chicago, Illinois in December 2019. Attendance at the COGEL Conference presents the OCF staff members with the opportunity to attend seminars critical to the successful administration of the Campaign Finance Laws. The attendees are exposed to the emerging trends in Campaign Finance Laws and Operations and provided the

occasion for the exchanges of ideas and the establishment of contacts with colleagues in state and federal jurisdictions in the United States and in Canada. During the 2019 COGEL Conference, Erick Jackson, the OCF Fair Elections Program Division Manager, and Wesley Williams, the OCF Public Information and Records Management Division Manager, lead a morning roundtable discussion on “Starting a New Program, the Fair Elections Program in the District of Columbia.”

The Office of Campaign Finance maintains a relationship with the D.C. Chamber of Commerce through the Chamber’s Director of Public Policy and Programs, Erika Wadlington, and with the District’s Citizens Federation. The dialogue with the Chamber provides the Business Community with information concerning the dates and location of the OCF’s Business Contributors and Campaign Finance Laws onsite training sessions. During FY 2019, seminars were scheduled on October 5, 2018, November 7, 2018, February 7, 2019, April 4, 2019, May 2, 2019, and July 11, 2019. The Agency also advised the Chamber that the OCF is available to provide training at their offices for the membership, and that training on the reporting requirements of Business Contributors is presented in a PowerPoint format at the OCF Website. On January 23, 2020, the Office of Campaign Finance notified the Chamber of the OCF schedule for the 2020 Training Seminars for Business Entities.

The Office of Campaign Finance began reaching out to the District’s Federation of Citizens and Civic Associations during late summer and early fall of FY 2019 to advise of the availability of the Agency to appear at Association meetings during Fiscal Year 2020 and provide information about the new Fair Elections Program and the Traditional Campaign Finance Program. The President of the DC Federation of Citizens Organizations invited the OCF’s FEP team to discuss the Fair Elections Program at its Wednesday, November 20, 2019 (7:00 p.m.) meeting.

7. For FY19 and FY20, to date, please list all intra-District transfers to or from the agency and include a narrative description of the purpose for each transfer.

RESPONSE:

The intra-District transfers received by or transferred from the Agency during FY19 and FY20, to date, are reported in the attached Chart of Intra-District and MOU Transfers. (Include purpose) **See Attachment F.**

- 8. For FY19 and FY20, to date, please identify any special purpose revenue funds maintained by, used by, or available for use by the agency. For each fund identified, provide:**
- a. The revenue source name and code;**
 - b. The source of funding;**
 - c. A description of the program that generates the funds;**
 - d. The amount of funds generated by each source or program;**
 - e. Expenditures of funds, including the purpose of each expenditure;**
 - f. Whether expenditures from the fund are regulated by statute or policy; and**
 - g. The current fund balance.**

RESPONSE:

The Office of Campaign Finance did not maintain, use, or have available for use, any special purpose revenue funds during FY19, and FY20, to date.

- 9. For FY19 and FY20, to date, please list all purchase card spending by the agency, the employee making each expenditure, and the general purpose of each expenditure.**

RESPONSE:

The list of the purchase card spending by the Agency is attached with the name of the employee making each expenditure, and the general purpose of each expenditure for FY19 and FY20, to date. **See Attachment G.**

- 10. Please list all capital projects in the financial plan for the agency or under the agency's purview in FY19 and FY20, to date, and provide an update on each project, including the amount budgeted, actual dollars spent, and any remaining balances. In addition, please provide:**
- a. An update on all capital projects begun, in progress, or concluded in FY18, FY19, and FY20, to date, including the amount budgeted, actual dollars spent, and any remaining balances;**
 - b. An update on all capital projects planned for the four-year financial plan;**
 - c. A description of whether the capital projects begun, in progress, or concluded in FY18, FY19, and FY20, to date, had an impact on the operating budget of the agency. If so, please provide an accounting of such impact; and**
 - d. A description and the fund balance for each existing allotment in each capital project under the agency's purview.**

RESPONSE:

The Office of Campaign Finance did not have any projects for which capital funds were available to the Agency, in FY18, FY19, and FY20, to date.

11. Please provide a list of all budget enhancement requests (including capital improvement needs), for FY19 and FY20, to date. For each, include a description of the need and the amount of funding requested.

RESPONSE:

The Fiscal Year 2019 approved Budget for the Office of Campaign Finance included an enhancement for the implementation of the Fair Elections Program in the amount of \$860,000 for administrative costs associated with the procurement of services for the design and development of the online financial reporting system unique to the pre-certification and post certification verification required by the Fair Elections Act (\$62,000); increases in the Personal Services Budget to fund three (3.0) Full Time Equivalents (FTEs), Auditor Positions (\$248,000); and to support Primary and General Election financing for the 2020 Election Cycle (\$550,000). In addition, a Personal Services increase of \$260,558 was identified for two (2) FTEs, a Fair Elections Manager to oversee the Program, and a Chief Technology Officer to oversee the technological aspects of the Program.

In FY19, the OCF Budget proposed the sum of \$3,181,272.00 (73% of the total projected costs for the 2020 Election Cycle) to support the implementation of the Fair Elections Act, split across Fiscal Years 2019, 2020, and 2021 for the 2020 Election Cycle. In addition, the Agency requested the following enhancements:

- (1) The Fair Elections E-Filing and Disclosure System: Amount required + \$387,981.81; for the design and development of the E-Filing and Disclosure System required under the Fair Elections Act to receive financial reports online.
- (2) Expanded Educational Outreach (Public Service Announcements, Videos, and Postcard/Postage Mailers) for the Fair Elections Program: Amount required + \$40,000; to fully inform District Residents about the Fair Elections Program and any scheduled Debates of candidates.

- (3) TeamMate Auditing Software Application: Amount required + \$75,000 first contract year and \$35,000 for the next two years; recommended by the Inspector General in OIG, Project No. 18-1-04CJ, the Evaluation of the OCF Reports and Analysis and Audit Division.
- (4) Overtime of OCF Staff to support the ANC Outreach for the Fair Elections Program: Amount required + \$21,777.60; to present at ANC Meetings for a five (5) month period twice weekly to inform District Residents about the Fair Elections Program.
- (5) OCF E-Filing and Disclosure System Upgrades required by D.C. Act 22-107, the “Campaign Finance Reform Amendment Act of 2018”: Amount required + \$100,000; to upgrade the System to fully implement the new reporting requirements of the Act. (Contingent upon the enactment of the Legislation)
- (6) New FTE’s (one (1) Auditor, CS-11, Step 1, \$59,727; one (1) Attorney, LS-12, Step 1, \$86,520; and one (1) Information Technology Specialist, CS-11, Step 1, \$59,727: Amount required + \$203,454; the new positions will be required to fully execute the additional responsibilities of OCF under D.C. Act 22-107, the “Campaign Finance Reform Amendment Act of 2018.”(Contingent upon the enactment of the Legislation)

The sum of \$62,000 allocated in the OCF FY 2019 Approved Budget was not adequate to procure the E-Filing System with the specifications deemed critical to the full implementation of the Fair Elections Act. The original estimate of \$62,000.00 for the cost of the System was understated and submitted during early 2018, when the Fair Elections Act was before the Council for adoption. Following the OCF’s observation of the online filing and disclosure systems utilized by the New York City Campaign Finance Board (the C-Smart System) and the Maryland State Board of Campaign Finance in their public financing programs, the Agency more accurately defined the specifications for the FEP OCF E-Filing System. During the latter part of FY 19, additional funding was identified in the OCF Personal Services Budget due to salary lapses and made available for the procurement of the FEP E-Filing System through the reprogramming of local funds. The development of the first phase of the FEP E-Filing System was completed and launched for public use on July 26, 2019. The total cost of the Contract was \$160,533.57 (RK116441 – Approved August 2019). The new FEP System enables the electronic

submission of financial reports by FEP candidates, and the upload of contributor receipts and certifications, committee bank statements, deposit slips, and loan documents; the administrative verification of the contributor information; and the real time imaging of the reports for public view. The requisition for the Second Phase of the development of the FEP E-Filing System was submitted into the ARIBA Procurement System on November 5, 2019 (RK140026). The Second Phase will focus on the development of Reports and Search Features, for public and administrative use. The projected cost is \$133,764.09.

In addition, the OCF Audit Division was the subject of OIG Project No. 18-1-04CJ (September 2018). Although the Office of the Inspector General did not identify deficiencies in the OCF audit processes, the Inspector General recommended that work paper software would improve audit efficiency, and the organization of information and documentation. In this regard, the OCF during FY 19 procured the TeamMate Audit Subscription Software Application by Wolters Kluwer Financial Solutions for sixteen (16) OCF Auditors, as a subscription contract for three years (\$91,700 in the first year, and approximately \$49,200 each year thereafter), which includes Licenses, Training, and Hosting.

Last, D.C. Law 22-250, the “Campaign Finance Reform Amendment Act of 2018” (the “Campaign Finance Reform Amendment Act”), became effective March 13, 2019. The applicability date of those provisions of the Campaign Finance Reform Amendment Act for which the Agency requested enhancements for upgrades to the E-Filing System and additional Personnel, is November 4, 2020, as provided by D.C. Law 23-16, the “Fiscal Year 2020 Budget Support Act of 2019”, effective September 11, 2019. The requested enhancements are included in the Fiscal Year 2021 Budget Request of the Agency.

The Office of Campaign Finance submits that the Fiscal Year 2020 Approved Non-Personal Budget for the Agency will support the procurement of public service announcements, videos, and postcard mailers which will allow the Agency to continue to expand the scope of its outreach to the public, and more effectively educate the residents of the District of Columbia about the Fair Elections Program.

Last, the Office of Campaign Finance requested the following three Enhancements in its Fiscal Year 2021 Proposed Budget Submission:

1	The Fair Elections Fund for the 2022 Election Cycle	\$21,496,790.80	Base amount and matching payments required under the Fair Elections Act for the 2022 Election Cycle, split across Fiscal Years 2021(17% - \$3,666,428.32), 2022 (73% - \$15,744,074.54), and 2023 (10% - \$2,156,722.54) by percentage based on projected activity
2	OCF E-Filing and Disclosure System Upgrades required by D.C. Law 22-250, the “Campaign Finance Reform Amendment Act of 2018” (effective March 13, 2019), as amended by D.C. Law 23-16, the “Fiscal Year 2020 Budget Support Act of 2019” (effective March 11, 2019) (Fiscal Year 2021)	\$100,000.00	To upgrade the OCF E-filing and Disclosure System to fully implement the new reporting requirements of D.C. Law 22-250, which will become applicable as of November 4, 2020
3	New FTEs (one (1) Auditor, CS-11, Step 1, \$61,518.81; one (1) Attorney, LS-12, Step 1, \$86,520.00; and one (1) Information Technology Specialist, CS-11, Step 1, \$61,518.81 (Fiscal Year 2021)	\$258,384.55	The new positions will be required to fully execute the additional responsibilities of OCF under D.C. Law 22-250, the “Campaign Finance Reform Amendment Act of 2018”, which will become applicable as of November 4, 2020

More specifically, as you know, the Office of Campaign Finance is responsible for the administration of the Fair Elections Fund. The Fair Elections Fund is established for the purpose of receiving revenue from certain designated sources, including annual appropriations, to provide public financing for the political campaigns of participating candidates and the costs of administering the Fair Elections Program. The Office of Campaign Finance is required to submit in time for inclusion in the Mayor’s budget and financial plan each year, an estimate of the amount of public funds that will be necessary to provide for the administration of the Program and for the elections in the next year in which elections are scheduled. *See D.C. Official Code § 1-1163.32i*. The Fair Elections Act provides for the distribution of Base Amount and Matching Payments to candidates who are certified by the Office of Campaign Finance to participate in the Program. The Base Amount payments are prescribed by the Act dependent upon the covered office sought (D.C. Official Code § 1-1163.32d); and the Matching payments are based on the

number of Qualified Small Dollar Contributions (QSDCs) from individual residents of the District of Columbia received by a participating candidate (D.C. Official Code § 1-1163.32e). Once certified, a participating candidate may continue to collect QSDCs and submit the documentation necessary to qualify for subsequent matching payments on the filing deadlines prescribed by the Act and Board Regulation for the Fair Elections Program.

The Act places a cap on the maximum amount of matching payments a participating candidate may receive based on 110% of the average expenditures of winning candidates for that covered office in a set number of prior election cycles, and base amount payments are only authorized in contested elections.

For the Primary and General Elections scheduled in Calendar Year 2022, the Agency first calculated the maximum caps for the candidates for the Offices of Mayor and Chairman of the Council by determining 110% of the average expenditures of the winning candidates for those covered offices in the 2006, 2010, 2014 and 2018 Election Cycles; and for the candidates for the Offices of Attorney General, At Large (2 Seats) and Ward Members (Wards 1, 3, 5, and 6) of the Council, and Ward Members (Wards 1, 3, 5, and 6) of the State Board of Education by determining 110% of the average expenditures of the winning candidates for those covered offices in the 2014 and 2018 Election Cycles. The projections for the necessary levels of matching fund payments required for the 2022 Election Cycle were derived by multiplying 50% of the number of candidates who qualified for ballot access in the 2018 Election Cycle times the matching fund cap for the respective covered offices. The covered offices for the 2022 Election Cycle are the Offices of the Mayor, the Attorney General, the Chairman of the Council, At-Large (2 Seats) and Ward Members of the Council (Wards 1, 3, 5, and 6), and Ward Members of the State Board of Education (Wards 1, 3, 5, and 6). For the projected base amount payments required for the 2022 Election Cycle, the Agency multiplied the statutory amounts for the respective covered offices by 50% of the number of candidates who participated in the 2018 Election Cycle and qualified for ballot access (48). It is anticipated that at a minimum, at least 50% (27) of the number of candidates who participated in the most recent completed election cycle will seek certification in the Fair Elections Program. Therefore, it is projected at a minimum \$20,157,225.40 will be required for matching payments, and \$1,410,000.00 will be

required for base amount payments, for the total sum of \$21,567,225.40 to support the Elections Fund for the 2022 Election Cycle.

The 2022 Election Cycle will cross the next three Fiscal Years. To ensure the availability of public funds during this timeframe, the allocation of the sum of \$21,567,225.40 is recommended over Fiscal Years 2021, 2022, and 2023 based on the anticipated activity in each year, as follows: the sum of \$3,666,428.32 (17%) in Fiscal Year 2021; the sum of \$15,744,074.54 (73%) in Fiscal Year 2022; and the sum of \$2,156,722.54 (10%) in Fiscal Year 2023. For the 2020 Election Cycle, the estimated costs for the FEP Program were split as follows: 17% (\$550,000) in FY19; 73% (\$3,181,272) in FY20; and 10% (\$415,141- The MARC includes an adjustment of \$665,000 based on the OCFO's fiscal impact statement estimated FY 21 cost of implementing the Fair Elections Act) in FY21. During FY19, a total of fourteen (14) candidates registered their intent to participate in the Fair Elections Program, and five (5) of the candidates were subsequently certified as participating candidates in the Program, who qualified for Base Amount and Matching Payments in the total sum of \$368,615.10.

The 2022 Election Cycle began on November 7, 2018, the day after the November 6, 2018 General Election, which was the most recent general election for the covered offices in the 2022 Election Cycle. The 2022 Election Cycle will end on the date of the November 2022 General Election. The "Qualifying Periods" during which candidates in both the Primary and General Elections must meet the FEP threshold requirements in order to be certified as "participating candidates" also began on November 7, 2018, the day after the most recent general election for the covered offices to be elected during the 2022 Election Cycle, and will both end in Fiscal Year 2022, on the last day to file nominating petitions for the respective seat in the applicable election. More specifically, the Primary Election will be held on June 7, 2022, during Fiscal Year 2022; and the General Election will be held on November 8, 2022, during Fiscal Year 2023. The Qualifying Period for candidates running in the Primary Election will end on or about March 9, 2022, the last day to file nominating petitions to qualify for ballot access in the Primary Election; and for candidates running in the General Election, the Qualifying Period will end on or about August 10, 2022, the last day to file nominating petitions and qualify for ballot access in the General Election.

Further, based on our most recent experience during the 2020 Election Cycle, funds will be required during the 2021 Fiscal Year, the Fiscal Year immediately preceding the 2022 June Primary Election, in the event candidates register to participate in the Fair Elections Program, meet the threshold requirements, and are certified as “participating candidates”, eligible to receive base amount and matching payments.

Last, certain provisions of D.C. Law 22-250, the “Campaign Finance Reform Amendment Act of 2018”, effective March 13, 2019, as amended by D.C. Law 23-16, the “Fiscal Year 2020 Budget Support Act of 2019”, effective September 11, 2019, will become applicable on November 4, 2020 during Fiscal Year 2021. These provisions will govern the political contributions of covered contractors and will require the upgrade of the OCF E-Filing and Disclosure System to fully implement the amendments to the Campaign Finance Act, at an approximate cost of \$100,000.00. Further, the following additional personnel will be necessary to meet the added responsibilities imposed by this legislation: one (1) Auditor Position, CS-11, Step 1 (\$61,518.81); one (1) Attorney Position, LS-12, Step 1 (\$86,520.00); and one (1) Information Technology Specialist, CS-11, Step 1 (\$61,518.81). See the Fiscal Impact Statement – Campaign Finance Reform Amendment Act of 2018 of Jeffrey S. DeWitt, Chief Financial Officer, dated October 19, 2018, and addressed to the Honorable Phil Mendelson, Chairman, the Council of the District of Columbia.

12. Please list, in chronological order, every reprogramming in FY19 and FY20, to date, that impacted the agency, including those that moved funds into the agency, out of the agency, or within the agency. Include known, anticipated reprogrammings, as well as the revised, final budget for your agency after the reprogrammings. For each reprogramming, list the date, amount, rationale, and reprogramming number.

RESPONSE:

There were four (4) approved reprogramming of funds in FY19, and one (1) in FY20, to date, at the Agency’s request. The reprogramming moved funds within the Agency, and the revised, final budget for the Agency for FY19 was not affected.

First, on February 20, 2019 (approved March 13, 2019), the Office of Campaign Finance requested the reprogramming of \$387,000 of Fiscal Year 2019 Local Funds budget authority within the Agency from Personal Services to Non-Personal Services. Funds were needed to

cover the costs associated with the development and implementation of an online filing system for candidates and political committees participating in the D.C. Fair Elections Program. Second, on May 7, 2019 (approved July 19, 2019), the reprogramming of \$642,000 of Fiscal Year 2019 Local Funds budget authority within the Agency from Local Lapsing to the Non-Lapsing Local Fund – the Fair Elections Fund, was approved to realign resources in accordance with the Fair Elections Act to provide for the continuous availability of funds for the public financing of political campaigns and the administration of the Fair Elections Program without regard to fiscal year limitation. Third, on July 7, 2019 (approved July 30, 2019), the Agency requested the reprogramming of \$146,120 of Fiscal Year 2019 Local Funds budget authority within the Agency from Personal Services to Non-Personal Services. Funds were needed to cover the cost of office equipment, supplies, professional development training, and the potential settlement of civil litigation involving the Office of Campaign Finance. Fourth, on September 19, 2019, the reprogramming of \$277,000 of Fiscal Year 2019 Local Funds budget authority within the Agency from Local Lapsing to the Non-Lapsing Local Fund – the Fair Elections Fund, was approved to realign resources in accordance with the Fair Elections Act to provide for the continuous availability of funds for the public financing of political campaigns and the administration of the Fair Elections Program without regard to fiscal year limitation.

During Fiscal Year 2020, to date, the Agency has requested the reprogramming of \$3,648,561.62 of Fiscal Year 2020 Local Funds budget authority within the Agency to move Fair Election funds from Local Lapsing Fund Detail 0100 to the Non-Lapsing Local Fund Detail 0101 – the Fair Elections Fund, to realign resources in accordance with the Fair Elections Act to provide for the continuous availability of funds for the public financing of political campaigns and the administration of the Fair Elections Program without regard to fiscal year limitation. See **Attachment H**, the Chart of FY19 and FY20, to date, Reprogramming

13. Please list each grant or sub-grant received by your agency in FY19 and FY20, to date. List the date, amount, source, purpose of the grant or sub-grant received, and amount expended.

RESPONSE:

The Office of Campaign Finance did not receive any grant or sub-grant in FY19 and FY20, to date.

- a. **How many FTEs are dependent on grant funding? What are the terms of this funding? If it is set to expire, what plans, if any, are in place to continue funding the FTEs?**

RESPONSE:

The FTEs of the Office of Campaign Finance are not dependent on grant funding and are funded solely through local funds.

- 14. Please list each grant or sub-grant granted by your agency in FY19 and FY20, to date. List the date, amount, source, and purpose of the grant or sub-grant granted.**

RESPONSE:

The Office of Campaign Finance did not grant any grants or sub-grants in FY19 and FY20, to date.

- 15. Please list each contract, procurement, and lease, entered into or extended and option years exercised, by your agency during FY19 and FY20, to date. For each contract, procurement, or lease, please provide the following information, where applicable:**

- a. **The name of the party;**
- b. **The nature of the contract, procurement, or lease, including the end product or service;**
- c. **The dollar amount of the contract, procurement, or lease, including amount budgeted and amount actually spent;**
- d. **The term of the contract, procurement, or lease;**
- e. **Whether it was competitively bid;**
- f. **The name of the agency's contract monitor(s) and the results of any monitoring activity; and**
- g. **The funding source.**

RESPONSE:

The list of each contract, procurement, and lease, entered into, extended, and option years exercised, by the Office of Campaign Finance during FY19 and FY20, to date, is attached, with the requested information provided for each. **See Attachment I.**

- 16. Please list all pending lawsuits that name the agency as a party. Identify which cases on the list are lawsuits that potentially expose the District to significant financial liability or will result in a change in agency practices, and describe the current status of the litigation. Please provide the extent of each claim, regardless of its likelihood of success. For those identified, please include an explanation about the issues involved in each case.**

RESPONSE:

The Office of Campaign Finance, to date, is named as a party in the following pending lawsuit: **Payam Zeraat v. District of Columbia et al (1:18-cv-02866) and (1:19-cv 01799).**

On December 6, 2018- the former employee of the Office of Campaign Finance filed a civil complaint 18-cv 0286 6-TJK against the District of Columbia Government and the Director, General Counsel and Audit Manager alleging that his termination for misconduct was wrongful and represented discrimination based upon a disability. On June 20, 2019 the former employee filed a second lawsuit arising from the same facts 19- cv-01799 in which he included the Board of Elections Chairperson, Michael Bennett as a defendant. The Office of the Attorney General (OAG) is representing the District Government and the individual defendants in these matters. During discussions with the OAG attorneys assigned to the cases in September 2019, OCF was advised that the OAG was in the process of arranging for Binding Arbitration with a federal judge. No further information has been provided.

17. Please list all settlements entered into by the agency or by the District on behalf of the agency in FY19 or FY20, to date, and provide the parties' names, the date the settlement was entered into, the amount of the settlement, and if related to litigation, the case name, docket number, and a brief description of the case. If unrelated to litigation, please describe the underlying issue or reason for the settlement (e.g. administrative complaint, excessive use of force, etc.).

RESPONSE:

During FY19, to date, the Office of the General Counsel negotiated settlements on behalf of the Office of Campaign Finance in the following administrative matters:

- (1) OCF v. Gayle Carley (OCF 2019 C-018) – Failure to timely file Reports of Receipts and Expenditures. Settled on September 1, 2019 during the Pre-Hearing Conference before the Board of Elections for \$850.00 in fines.
- (2) OCF v. The Economic Protection Party (OCF 2018-006) – Failure to timely file Reports of Receipts and Expenditures. Settled on July 30, 2019 during the Pre-Hearing Conference before the Board of Elections for \$150.00 in fines.
- (3) OCF v. Renee' Bowser (OCF 2015 C-075) – Failure to file Reports of Receipts and Expenditures. Settled initially on May 9, 2019 before the Board of Elections and finally for \$200.00 in fines on November 6, 2019.

- (4) OCF v. Sheila Bunn (OCF 2018 C-011) Failure to Timely File Reports of Receipts and Expenditures. Settlement for \$1,900.00 in fines reached on October 30, 2019 before the Board of Elections.
- (5) OCF v. Lanette Woodruff (OCF 2018 C-049) Failure to Timely File Reports of Receipt and Expenditures. Settled on May 21, 2019 before the Board of Elections for \$1,850.00 in fines.
- (6) OCF v. Bike Life (OCF 2019 IN-002) Failure to Timely File Reports of Receipts and Expenditures. Settled on September 12, 2019 before the Board of Elections for \$1,000.00 in fines.
- (7) OCF v. Jacque Paterson (OCF 2015 C087, 2016C 003, 2016C-040, 2017C-014, 2017C-024) Failure to Timely File Reports of Receipts and Expenditures. The Settlement Agreement provided that the respondent would pay the \$2,500.00 in outstanding fines by making an initial payment of \$500.00 on August 14, 2018 and retire the balance by making monthly payments of \$500.00 each during the subsequent 4 (four) months. However, the respondent failed to make the agreed upon monthly installments. Consequently, the matter was transmitted to the Office of the General Counsel for the Board of Elections (BOE) to file a Petition for Enforcement in the DC Superior Court. The matter is currently pending before the BOE.

18. Did the agency use outside counsel in FY19 or FY20, to date? If so, for what matter(s) and in what amounts?

RESPONSE:

The Agency did not use outside counsel in FY19 or FY20, to date, other than assistance received from the Office of the Attorney General regarding the matter cited in the OCF Response to Question 16. To date the OAG has not charged the agency.

19. Please list the administrative complaints or grievances that the agency received in FY19 and FY20, to date, broken down by source. Please describe the process utilized to respond to any complaints and grievances received and any changes to agency policies or procedures that have resulted from complaints or grievances received. For any complaints or grievances that were resolved in FY19 and FY20, to date describe the resolution.

RESPONSE:

The Office of Campaign Finance did receive three (3) administrative complaints or grievances in FY19 and none in FY20, to date, as follows:

- (1) On October 31, 2018, a former employee of the Agency filed an American Disabilities Act Claim against the Agency with the Equal Employment Opportunity Commission,

after filing several administrative complaints and grievances on the local level during FY18 and FY19, to date, which were either dismissed or forwarded to the Agency with recommendations. The former employee subsequently filed the lawsuit referenced in the OCF Response to Question No. 16.

(2) In FY 19, a current employee has appealed the action of the Agency in a personnel matter before the Office of Employee Appeals, which remains pending.

(3) In FY 19, a current employee filed a complaint against the Agency before the Office of Human Rights alleging discrimination in hiring practices, which was settled in December 2019 (Fiscal Year 2020), pursuant to an agreement reached between the parties. The complaint was withdrawn.

20. Please describe the agency's procedures for investigating allegations of sexual harassment, sexual misconduct, or discrimination committed by or against agency employees. List and describe any allegations relating to the agency or its employees in FY19 and FY20, to date, and whether and how those allegations were resolved (e.g. a specific disciplinary action, such as re-training. Employee transfer, suspension, or termination).

RESPONSE:

The Office of Campaign Finance did not receive any allegations of sexual harassment or sexual misconduct in FY19. The Agency did receive one (1) administrative complaint alleging discrimination which is referenced in the Agency Response to Question numbered 19. To date, on October 3, 2019, the Agency received verbal allegations from a female employee of sexual harassment or other forms of sexual misconduct by a male employee. The employee was advised of her right to file a complaint with any Equal Employment Opportunity (EEO) Officer in the District Government. At the employee's request, the Agency referred the employee to an Equal Employment Officer located in a different District Government Agency because the Agency EEO Officer supervises the male employee whom the female employee accused of sexual harassment. In December 2019, the employee requested through Counsel an exit letter from the Office of Campaign Finance Equal Employment Officer. The Exit Letter was issued on December 23, 2019.

Generally, the procedures involved for investigating allegations of sexual harassment, sexual misconduct, or discrimination committed by or against agency employees commence with the referral of the allegations to the Equal Employment Officer (EEO) for the Agency. The EEO Officer is responsible for ensuring that the Agency adheres to the mandates of the various laws enacted to make certain that a fair and non-discriminatory workplace is provided to all OCF employees. More importantly, the EEO Officer is available to address any EEO concerns the employees of the Agency may have. Consistent with the procedures of the Department of Human Resources, any investigation undertaken would include advising the parties of their right to representation, examining the relevant evidence, conducting interviews, and reviewing the applicable laws and regulations. Following the conclusion of the investigation, the EEO Officer issues a report in which recommendations are made to the Director. After the review of the recommendations, the Director issues a final agency decision which may be appealed to the Office of Employee Appeals.

- a. Please also identify whether the agency became aware of any similar matters in FY19 or FY20, to date, through means other than an allegation, and if so, how the matter was resolved (e.g. sexual harassment was reported to the agency, but not by the victim).**

RESPONSE:

The Agency did not become aware of any similar matters in FY19 or FY20, to date, through means other than an allegation.

- 21. Please provide the Committee with a list of the total workers' compensation payments paid by the agency or on the agency's behalf in FY19 and FY20, to date, including the number of employees who received workers' compensation payments, in what amounts, and for what reasons.**

RESPONSE:

The Agency did not in FY19 and FY20, to date, pay workers' compensation payments.

- 22. Please list and describe any ongoing investigations, audits, or reports on the agency or any employee of the agency, or any investigations, studies, audits, or reports on the agency or any employee of the agency that were completed in FY19 and FY20, to date.**

RESPONSE:

On September 4, 2019, the Office of Campaign Finance received a complaint from Advisory Neighborhood Commissioner (ANC), Edward Hanlon alleging that his fellow ANC Commissioners Daniel Warwick (SMD2B02); Aaron Landry (SMD2B04); Randy Downs (SMD2B05); Mathew Sampson (SMD2B01); Mike Silverstein (SMD2B06) and Kari Cunningham (SMD 2B07) improperly used a government twitter account to promote the candidacy of a candidate for the District of Columbia Council from Ward 2. The investigation was completed on December 2, 2019, and an Order of the Director was issued on December 17, 2019. A second complaint was filed on January 2, 2010 from Advisory Neighborhood Commissioner (ANC), Edward Hanlon alleging that Jeffrey Rueckgauer, and his fellow ANC Commissioner Aaron Landry (SMD2B04) continue to improperly use a government twitter account to promote the candidacy of a candidate for the District of Columbia Council from Ward 2. The investigation is pending.

23. Please describe any spending pressures the agency experienced in FY19 and any anticipated spending pressures for the remainder of FY20. Include a description of the pressure and the estimated amount. If the spending pressure was in FY19, describe how it was resolved, and if the spending pressure is in FY20, describe any proposed solutions.

RESPONSE:

The Office of Campaign Finance did face spending pressures during FY19 but resolved those issues through the reprogramming of Fiscal Year 2019 Local Funds Budget Authority within the Agency from Personal Services to Non-Personal Services, as more fully described in the Response to Question No. 13. Specifically, the Agency did not have enough funds in Non-Personal Services to cover the costs associated with the development and design of an e-filing and disclosure system for the new Fair Elections Program.

The \$62,000.00 allocated in the FY 2019 Budget was not adequate to support the funding required to procure the E-Filing System with the specifications deemed critical to the full implementation of the Fair Elections Act. The original estimate of \$62,000.00 for the E-Filing System was understated and submitted during early 2018, when the Fair Elections Act was before the Council for adoption. Following the OCF's observation of the online filing and disclosure systems utilized by the New York City Campaign Finance Board (the C-Smart

System) and the Maryland State Board of Campaign Finance in their public financing programs, the specifications for the OCF E-Filing System were more accurately defined. During the latter part of FY 19, additional funding was identified in the OCF Personal Services Budget due to salary lapses and made available for the procurement of the FEP E-Filing System through the reprogramming of local funds. The development of the first phase of the FEP E-Filing System was completed and launched for public use on July 26, 2019. The total cost of the Contract was \$160,533.57 (RK116441 – Approved August 2019). The new FEP System enables the electronic submission of financial reports by FEP candidates and the upload of contributor receipts and certifications, committee bank statements, deposit slips, and loan documents; the administrative verification of the contributor information; and the real time imaging of the reports for public view. The requisition for the Second Phase of the development of the FEP E-Filing System was submitted into the ARIBA Procurement System on November 5, 2019 (RK140026). The Second Phase will focus on the development of Reports and Search Features, for public and administrative use. The projected cost is \$133,764.09.

The Office of Campaign Finance did anticipate spending pressures for Fiscal Year 2020. On January 7, 2020, Jack Evans resigned his position as the Ward 2 Councilmember on the Council of the District of Columbia, effective January 17, 2010. The Board of Elections, consistent with Section 903.3 of Title 3, “Elections and Ethics” of the Rules and Regulations of the Board, declared a vacancy in the Office of the Member of the Council from Ward 2, and scheduled a Special Election for this seat on Tuesday, June 16, 2020. As of this date, the Office of Campaign Finance does not have the resources to fund the disbursement of Base Amount and Matching Payments to candidates certified as “participating candidates in the Fair Elections Program. The “qualifying period” for a candidate running in the Special Election to meet the threshold requirements of the Fair Elections Act and qualify for certification as a participating candidate in the Fair Elections Program begins on the day the special election was called, January 8, 2020, and ends on the last day to file nominating petitions for the covered office sought, Wednesday, March 18, 2020. To be certified as a participating candidate for this covered office, the candidate must obtain qualified small dollar contributions from at least 150 small dollar contributors who are individual residents of the District of Columbia, which, in the aggregate, total \$5,000 or more; and file an Affidavit signed by the candidate and the treasurer of the principal campaign

committee agreeing to adhere to certain conditions. The contribution limit for the Office of Member of the Council elected from a ward is \$50. Once certified, the participating candidate is entitled to the payment of one half of the Base Amount of \$40,000, if the election is contested, and Matching Payments for Qualified Small Dollar Contributions received from District individual residents prior to certification and thereafter. The remaining portion of the Base Amount is payable once ballot access is achieved. As of this date, the Office of Campaign Finance has certified five (5) candidates as “participating candidates” for the covered office of Ward 2 Member of the Council in the June 2, 2020 Primary Election, and authorized Base Amount and Matching Payments in the total sum of \$456,041.65 to these candidates. As of January 27, 2020, three (3) of these candidates have registered with the Office of Campaign Finance seeking certification in the Fair Elections Program as “participating candidates” in the June 16, 2020 Special Election for Member of the Council from Ward 2.

To resolve this issue, on January 14, 2020, the Office of Campaign Finance notified the Executive Office of the Mayor and the Office of the Chief Financial Officer/Government Operations Cluster/the Office of Finance and Resource and Management (OFRM) that the Agency required additional funding for the June 16, 2020 Special Election in the event candidates were certified into the Fair Elections Program and deemed eligible to receive Base Amount and Matching payments. On January 29, 2020, the Office of Finance and Resource Management notified the Office of Campaign Finance that \$700,000.00 had been allocated to the Fair Elections Fund (the “Fund”) for the projected costs for disbursements from the Fund for authorized Base Amount and Matching Fund payments to candidates registered in the Fair Elections Program and certified as “participating candidates” in the June 16, 2020 Special Election.

24. Please provide a copy of the agency’s FY19 performance plan. Please explain which performance plan objectives were completed in FY19 and whether they were completed on time and within budget. If they were not, please provide an explanation.

RESPONSE:

The copy of the FY19 Performance Plan and Report for the Office of Campaign Finance is attached. **See Attachment J.** The Office of Campaign Finance fully achieved all Agency

Initiatives on time and within budget as detailed in the Report, except for the Key Performance Indicator (KPI), “Percent of informal hearings conducted and closed before the next filing deadline”. Notwithstanding, the Office of the General Counsel did conduct and close all informal hearings before the next filing deadline, achieving the target of 100% for this KPI. The “next filing deadline” in most instances does not occur for several quarters, which allows hearings to be scheduled in quarters where unrelated referrals may be made. Referrals are continuous and are not limited to any quarter. The desired goal is to complete the informal hearing process before the next filing deadline, which is unrelated to the quarter in which the referral is made. The KPI inappropriately tracks both the number of referrals made in a quarter and the number of informal hearings completed within the quarter to determine if the target of 100% is met. To cure this problem in the future, annual reporting will be required to capture raw data for the total number of referrals made during a fiscal year, and the total number of informal hearings conducted and closed during a fiscal year.

25. Please provide a copy of your agency’s FY20 performance plan as submitted to the Office of the City Administrator.

RESPONSE:

The FY20 Performance Plan for the Office of Campaign Finance is attached as submitted to the Office of the City Administrator. **See Attachment K.**

26. Please describe any regulations promulgated by the agency in FY19 or FY20, to date, and the status of each.

RESPONSE:

During Fiscal Year 2019, and Fiscal Year 2020, to date, the Office of Campaign Finance submitted the following five (5) Notices of Final Rulemaking to the Board of Elections which were adopted by the Board and published in the D.C. Register:

First, the Agency proposed the Notice of Emergency and Proposed Rulemaking to the Board of Elections for adoption on September 5, 2018 to increase the expenditure limits for the Constituent Service Programs (65 DCR 9623; September 14, 2018). The revised Regulations placed the Board’s Regulations into conformity with recent amendments to the Campaign

Finance Act. The Notice of Final Rulemaking was adopted by the Board of Elections on November 15, 2018 and published in the D.C. Register on November 30, 2018 (Volume 65/49).

Second, on January 4, 2019, the Board of Elections published a Notice of Proposed Rulemaking in the District of Columbia Register (Volume 66/1) of its intent to take final rulemaking action to adopt Chapter 42, “The Fair Elections Program”, and Chapter 43, “The Verification Process”, amendments to Title 3 (Elections and Ethics”) of the District of Columbia Municipal Regulations, in not less than thirty (30) days from the date of the publication. The purpose of the Regulations was to fully implement the provisions of the “Fair Elections Amendment Act of 2018”. Comments were received during the public comment period, and the Notice was revised to adopt amendments to Chapter 3, “Advisory Opinions of the Board”, Chapter 37, “Investigations and Hearings”, Chapter 42, “The Fair Elections Program”, and Chapter 43, “The Verification Process”, to incorporate the comments, and to realign the regulations with the Campaign Finance and Fair Elections Act. (See Notice of Proposed Rulemaking published on March 22, 2019 in the D.C. Register, Volume 66/12). The Notice of Final Rulemaking was adopted by the Board and published in the D.C. Register on May 31, 2019 (Volume 66/22).

Third, the Board of Elections adopted and published a Notice of Final Rulemaking in the D.C. Register on July 12, 2019 (Volume 66/28) to further amend the Regulations governing the traditional campaign finance operations to incorporate the Fair Elections Act, including Chapter 30, “Campaign Finance Operations: Committees, Candidates, Constituent Service Programs, Statehood Funds”; Chapter 34, “Campaign Finance Recordkeeping and Audits”; Chapter 37, “Investigations and Hearings”; and Chapter 99, “Definitions”. The Notice of Proposed Rulemaking was published in the D.C. Register on April 19, 2019 (Volume 66/16).

Fourth, on October 11, 2019, the Board published a Notice of Final Rulemaking on October 11, 2019 in the D.C. Register (Volume 66/42) to amend Chapter 42, “The Fair Elections Program”, and Chapter 43, “The Verification Process” to place the regulations into conformity with the Campaign Finance Act of 2011, as amended by the Fair Elections Amendment Act of 2018, and the Fair Elections Emergency Amendment Act of 2019. The Notice of Proposed and Emergency Rulemaking was published in the D.C. Register on June 21, 2019 (Volume 66/25), and republished on August 16, 2019 (Volume 66/34), with revisions.

Fifth, on October 11, 2019, the Board of Elections also adopted and published in the D.C. Register the “Notice of Emergency and Proposed Rulemaking” (Volume 66/42) to amend the Regulations to place the Board’s regulations into conformity with the Campaign Finance Act of 2011, as amended by the Campaign Finance Reform Amendment Act of 2019, effective March 13, 2019, and the Fiscal Year 2020 Budget Support Act of 2019, effective September 11, 2019. The Notice of Final Rulemaking was adopted by the Board of Elections on November 14, 2019 and published in the D.C. Register on November 22, 2019 (Volume 66/48).

The specific amendments are as follows:

1. Final Rulemaking published on November 30, 2019:

Chapter 30, “Campaign Finance Operations: Committees, Candidates, Constituent Service Programs, and Statehood Funds,” adopted, November 30, 2018.

- §§ 3014.21(a) Revised to increase allowable expenditures from the program during a calendar year to sixty thousand dollars (\$60,000).

2. Final Rulemaking published on May 31, 2019:

(1) Chapter 37 Investigations and Hearings:

- § 3700.1. Revised to include the phrase “Chapters 30-43”
- §§ 3704.3 and 3704.7(c) were revised to include the phrase “Chapters 30-43;”
- § 3706.1. Revised to include the phrase “Chapters 30-43; and
- § 3709.1 Revised to include the phrase “Chapters 30-43.”

(2) Chapter 42, “Fair Elections Program”. This Chapter was added to the regulations to establish the procedures governing the public financing of political campaigns provided by the “Fair Elections Act of 2018.”

(3) Chapter 43, “Verification Process” This Chapter was added to the regulations to establish a process for the verification of contributions received by a committee electing to participate in the public financing program.

3. Final Rulemaking published on July 12, 2019:

(1) Chapter 30, Campaign Finance Operations: Committees, Candidates, Constituent Service Programs, and Statehood Funds:

3000 Organization of Political Committees, Political Action Committees and Independent Expenditure Committees

- § 3000.7 revised to include (d) a description of a “Fair Election Committee”

- 3001 Mandatory Training
- § 3001.4, revised to include that the Fair Elections Program candidates and their treasurers shall appear in person to attend the OCF training program.
- 3002 Candidate Status
- § 3002.2, revised to include (c) whether the candidate intends to seek certification as a participating candidate in the FEP.
 - §3002.3, revised to include that personal R&E reports shall be filed by candidates seeking certification or participating in the FEP under §4212, unless waived under § 3004.
- 3005 Principal Campaign Committee
- § 3005.4, revised to include (c) contributions to candidates seeking certification or participating in the FEP.
- 3006 Mandatory Electronic Filing
- §3006.4, revised to include (f) the treasurer of candidates seeking certification or participating candidate who files a Statement of Registration.
- 3008 Financial Reports & Statements
- § 3008.14, revised to include instructions on how report financial transaction undertaken by credit card.
- 3011 Limitations on Contribution
- §3011.30 Repealed
- 3013 Limitations on the Use of Campaign Funds
- § 3013.2, revised to include (j) candidates may receive reimbursement for out-of-pocket expenses incurred for campaign purposes.
 - § 3013.4, added to include that FEP funds and expenditures do not apply to the limitations under § 3013.
- 3015 Surplus Funds
- § 3015.11, Repealed.
- 3016 Termination of Committees, Constituent Service Programs and Statehood Funds
- § 3016.15, added to stated that the termination of committees under § 3016 does not apply to principal campaign committees of a participating candidate of the FEP.

- § 3016.16, added to state the candidates seeking certification in the FEP may rescind certification and terminate his/her PCC once the Statement to Rescind Certification has been filed by rescission deadline date.

3017 Filing and Deadlines

- § 3017.1 – 3017.14 renumbered.
- § 3017.7, added to include filing dates for FEP R&E Reports.

(2) Chapter 34 Campaign Finance Recordkeeping and Audits

3400 Recordkeeping Procedures

- § 3400.1, revised to include (g) Fair Elections Programs
- § 3400.2, revised to include (q) Affirmation Statements, (r) Affidavits, and (s) Campaign equipment records.
- § 3403, revised to Repeal (c)
- § 3404, added to include procedures to obtain and preserve contribution receipts from each qualified small-dollar contributor and non-District resident contributor.

(3) Chapter 99 “Definitions

- Added definitions for:
 - Base amount
 - Contested election
 - Debate
 - Election cycle
 - Fair Elections Committee
 - Fair Elections Fund
 - Fair Elections Program
 - Matching payments
 - Participating candidate
 - Prohibited source
 - Public official
 - Qualified small-dollar contribution
 - Qualifying period
 - Small-dollar contribution

4.Final Rulemaking published on October 11, 2019:

(1) Chapter 42 The Fair Elections Program:

- 4201 Registration of Candidate (revised to “Registration of a Candidate in the Fair Election Program)
- § 4201 – Heading changed to “REGISTRATION OF CANDIDATES IN THE FAIR ELECTIONS PROGRAM.
 - § 4201.11 added to include the candidates shall complete and file Form W-9 for Taxpayer Identification/Certification and the ACH Enrollment Form.
- 4203 Principal Campaign Committee
- § 4203.13 requires treasurers to appear in person to attend the OCF training program within 15 days of filing the Acceptance of Treasurer form.
 - § 4203.19 states that a principal campaign committee may only make expenditures by check drawn or electronic transfer on the depository account designated by the principal campaign committee.
- 4205 Limitations on Contributions
- § 4205.2 revised to include a contribution receipt shall include a contributor’s signature by other indicia of identity (such as an affirmation checkbox).
 - § 4205.16 revised to include that candidates for certification and participating candidate may not accepts contributions form prohibited sources and may not accept contributions in excess of limitations.
 - §§ 4205.17 and 4205.18 were added as new subsections.
- 4206 Certification, Revocation, and Rescission as a Participating Candidate
- § 4206.3 the certification evaluation time has increased to ten (10) days and (b) the number of days to submit an appeal has increased to ten (10) days.
 - § 4206.5 the number of days to appeal a revocation of certification has increased to ten (10) days.
 - § 4206.12 added as new subsection added to allow candidates to file for certification and receive the base amount payment and initial matching payments on a rolling basis.
 - § 4206.13 added as a new subsection to allow for rolling certification.

- 4207 Base Amount Payments
- § 4207.1, 4207.2 and 4207.3 revised to include that the Office of the Chief Financial Officer shall disburse funds to the candidate within 5 days of receiving notice from OCF.
- 4208 Matching Payment for Small-Dollar Contributions
- § 4208.2 revised to include that qualified small-dollar contribution with a value of \$5 or more shall be matched in amount equal to 500%.
 - §4208.7 revised to include that the Office of the Chief Financial Officer shall disburse funds to the candidate within 5 days of receiving notice from OCF.
 - §4208.9 revised to allow 10 days to submit and appear to any denial of any payment.
- 4210 Debate Requirement
- § 4210.11 added as new subsections to allow non-participating candidates to participate in a debate for the covered office.
 - § 4210. 12 a new subsection added to waive a debate if there is no candidate (participating or non-participating) is willing to participate in the debate for that covered office.
- 4211 Remitting Funds and Turning Over Campaign Equipment:
- § 4211, the heading has changed to “REMITTING FUNDS AND DONATING EQUIPMENT”
 - § 4211.1, 4211.2,4211.3 and 4211.4 revised to state that any equipment purchase by the campaign shall be donated to a non-profit organization in accordance to the Internal Revenue Code section 501(c)(3) that is in good standing for one calendar year before the date of the donation.
 - § 4211.8 revised to include a definition of “equipment.”
- 4212 Filing and Deadlines
- § 4212.2 revised to include the phrase “shall be filed by candidates seeking certification and participating candidates...” and 4212.2 (c) and (d) added to include January 31 and July 31 filing dates.
 - § 4212.3 revised to include specific filing dates for candidates seeking certification only
 - § 4212.4 revised to include specific filing dates for certified participating candidates.

4213 Reporting and Disclosure Requirements

- § 4213.6 revised to include that a candidate shall report and itemized receipts of \$5,000 or more and (a) and (b) revised to strike the phrase “telephone number.”

4214 Recordkeeping

- § 4214.5 revised increase the availability of all records for review and audit to 10 days or 30 days.

(2) Chapter 43, The Verification Process

4302 Supporting Documents

- § 4302.3 revised to include (f) debits cards processed by the campaign.

4306 Affirmation Requirements

- § 4306.3, revised to include credit card contributions processed “on any third-party fundraising sites used by the campaign”.

4307 Disposition of Public Financing Equipment

- §4207.1 revised to state that equipment purchase with matching funds shall be donated to a non-profit.
- §4207.2 revised to state that campaign-equipment and surplus equipment shall be donated to a non-profit.

5. Final Rulemaking published on November 22, 2019:

(1) Chapter 30, Campaign Finance Operations: Committees, Candidates, Constituent Service Programs, and Statehood Funds:

3000 Organization of Political Committees, Political Action Committees and Independent Expenditure Committees

- § 3000.28, revised to include that committee funds shall not be commingled with person funds of officers, directors, members or associates of the committee.
- § 3000.30, added to require that political action committees and independent expenditure committees to certify in each report that contributions received, and expenditures made have not be controlled or coordinated with a public official, the public officials affiliated committee, or an agent of the public official or affiliated committee.
- § 3000.31, added to require independent expenditure committees to make additional certification in each report.

- 3001 Mandatory Training
- §3001.7, added to state that the names of each participant and non-participant that have or have not completed training will be published on the OCF website.
- 3002 Candidate Status
- §3002.5, requires that each candidate who files the R&E Report shall by oath or affirmation, subject to penalties of perjury verify certain statements.
- 3005 Principal Campaign Committee
- § 3005.2, revised to include that a principal campaign committee support an official of a political party may support more than 1 candidate, but may not support the election of a candidate for public office.
 - § 3005.3, revised to include that the designated PCC shall receive all report made by any other political committees accepting contributions or making expenditures to influence the election of candidate.
- 3008 Financial Report and Statements
- § 3008.1 – 3008.23, revised in its entirety.
 - § 3008.24 – 3008.31, added as new subsections.
- 3011 Limitations on Contributions
- § 3011.3, revised to state no person can make contributions to any 1 political committee or political action committee in any 1 election, which exceeds \$5,000.
 - § 3011.18, revised to lower the limit for the reporting of bundled contributions to \$5,000.
 - § 3011.35, added as a new subsection, which states that the contributions limits under § 3011 apply to PAC during non-election years.
 - §3011.36, new subsection added to not apply the contributions limits under §3011 to independent expenditure committees.
- 3013 Limitations on the Use of Campaign Funds
- § 3013.2, revised (f) to strike the word “activity” and insert “activities”.
- 3015 Surplus Funds
- § 3015.5, revised to include a time limit of (6) months to disburse surplus funds.
 - § 3015.6, revised to include procedures for disbursement of surplus funds specific to PCC designated by a candidate.

- 3017 Filings and Deadlines
 - Heading revised to “FILING DEADLINES”
 - § 3017.9, revised reporting time to 10 days preceding the filing deadline.
 - § 3017.10 Repealed.
- 3018 Identification of Campaign Literature
 - § 3018.1 – 3018.5, revised in its entirety.
- (2) Chapter 37 Investigations and Hearings
 - § 3711.3, reduced constituent service fines from \$5,000 to \$4,000.
 - § 3711.11, new subsection added to state the no provision under the Act shall be construed as creating liability on the part of any candidate of any financial obligations incurred by the committee, except for §§ 3015.5(b)(1), 3906.2 and 4006.2.
- 3714 Report and Statements Under Oath
 - § 3714.1 – 3714.3, revised in its entirety.
- (3) Chapter 38 Legal Defense Committee
 - 3801 Organization of Legal Defense Committee
 - § 3801.18, revised (b) to include “occupation, employer.”
 - 3802 Filing and Reporting
 - § 3802.3, revised (d) to lower the limit for the reporting of bundled contributions to \$2,000.
 - §3802.5, revised (b) to lower the limit for the reporting of bundled contributions to \$2,000 and (f) revised to include “employer” after “occupation.”
 - 3803 Legal Defense Committee Contribution Limitations.
 - § 3803.1, revised to decrease aggregate contribution amount to \$2,000.
- (4) Chapter 39 Campaign Finance Operations: Inaugural Committees
 - 3902 Filing and Reporting Requirements
 - §3902.4, revised (d) to lower the limit for the reporting of bundled contributions to \$4,000.

- 3904 Inaugural Committee Contribution Limitations
 - § 3904.1 and 3904.2, reduced contribution limitations to \$4,000.
- 3906 Duration of Inaugural Committees
 - § 3906.1 – 3906.4, revised in its entirety to establish a 6-month period to terminate committee and all proper debts, after which the Mayor shall be personally liable and shall not fundraise to retire proper debts that the Mayor is personally liable for, after 6 months after the beginning of the new term.
- (5) Chapter 40 Campaign Finance Operations: Transition Committees
 - 4004 Transition Committee Contribution Limitations
 - § 4004.1, revised (b) to increase contribution limitations to \$1,500.
 - § 4004.3, revised to prohibit individuals, including business contributors to make or facilitate to make bundled contribution directly or indirectly to a Mayor’s or Council Chairman’s transition committee.
 - 4006 Duration of Transition Committee
 - § 4006.1 – 4006.4 revised in its entirety to establish a 6-month period to terminate committee and all proper debts, after which the Mayor, Chairman of the Council, or Attorney General shall be personally liable and shall not fundraise to retire proper debts he or she is personally liable for, after 6 months after the beginning of the new term.
- (6) Chapter 41 Campaign Finance Operations: Exploratory Committees
 - 4100 Exploratory Committee in General
 - § 4100.1, revised the description of an exploratory committee.
 - 4102 Organization of Exploratory Committees
 - § 4102.1, revised definition of exploratory committee.
 - 4108 Use of Surplus Funds
 - § 4108.1, revised to include that surplus funds shall transferred only to an established political committee, or non-profit organization.
- (7) Chapter 99 “Definitions”
 - Revised definitions for:
 - Candidate;
 - Contribution;
 - Coordinate or Coordination;
 - Expenditure; and
 - Inaugural Committee

- Added definitions for:
 - Coordinate or coordination;
 - Coordinated expenditure;
 - Covered Office;
 - Independent Expenditure Committee;
 - Material involvement;
 - Political Action Committee; and
 - Principal

27. Please provide the number of FOIA requests for FY19 and FY20, to date, that were submitted to your agency. Include the number granted, partially granted, denied, and pending. In addition, please provide the average response time, the estimated number of FTEs required to process requests, the estimated number of hours spent responding to these requests, and the cost of compliance.

RESPONSE:

During FY19, the Office of Campaign Finance received two (2) FOIA requests. The General Counsel is the designated FOIA Officer for the Agency. Both requests were granted. The average response time was five (5) days. In each case, one FTE processed the requests and the estimated number of hours spent responding to the requests was four (4).

28. Please provide a list of all studies, research papers, reports, and analyses that the agency prepared or for which it contracted in FY19 and FY20, to date. Please state the status and purpose of each. Please submit a hard copy to the Committee if the study, research paper, report, or analysis is complete.

RESPONSE:

First, on January 31, 2019, the Office of Campaign Finance issued and presented in an electronic format the 2019 Biennial Report of Contributions and Expenditures to the Mayor and the Council of the District of Columbia for the period from January 2017 through December 2018. The Campaign Finance Laws require the Director to make a Biennial Report to the Mayor, the Council, and the general public, commencing January 31, 2001, and every two years thereafter, on January 31st. The report describes the receipts and expenditures of candidates for elective office, except for ANC candidates, and principal campaign committees for the prior two-year period, in dollar amount and percentage terms, by donor categories and size of the donation, and expenditure type. Graphs are used to present the percentage terms. The receipts and expenditures of the political action committees, independent expenditures, and the exploratory, inaugural,

transition, and legal defense committees must also be summarized. The Report was presented in an electronic format and made available for members of the public at the OCF Web Site, the OCF Offices, and in the Washingtoniana Room of the Martin Luther King, Jr. Memorial Library.

Second, following each filing of Reports of Receipts and Expenditures, the Office of Campaign Finance produces Summary Reports of Contribution Information by Denomination and Donor Type and Expenditure Information by Type, with visuals (pie charts) to denote percentages, generated by the OCF Database when financial reports are submitted, and made available for public review and search at the OCF Website. The Reports and Summaries may be searched by Filer Type, Filing Year, and Report Name. **See Attachment L, the copy of the E-Mail dated January 31, 2019, providing links to the OCF 2019 Biennial Report.**

Third, the Agency presents Monthly Production Reports of the Office of Campaign Finance at the open meetings of the Board of Elections and publishes the Reports at the OCF Website. The Reports state the activity of the Agency for the period covered, including financial reports received in both the Fair Elections Program and the Traditional Campaign Finance Program, the disbursements authorized from the Elections Fund, the names of candidates certified into the Fair Elections Program, the names of committees who failed to file, new candidate and committee registrations, mandatory training conferences conducted, desk reviews conducted, audit reports, interpretative opinions, and informal hearing orders issued, the list of ongoing audits and investigations, fines issued, and petitions for enforcement filed before the Board of Elections.

Last, the Agency has continued in FY19 and FY20, to date, to research how various jurisdictions administer their public financing programs through the examination of their statutes, regulations, forms, brochures, guides, training materials, and post-election reports. Members of the Office of Campaign Finance Staff participated in the 2018 Council on Government Ethics Laws (COGEL) Conference in Philadelphia Pennsylvania in December 2018, and the 2019 COGEL Conference in Chicago, Illinois in December 2019. Attendance at the COGEL Conference presents the OCF staff members with the opportunity to attend seminars critical to the successful administration of the Campaign Finance Laws, and to converse directly with our Campaign Finance counterparts from other jurisdictions to exchange information and compare our operations. During the 2019 COGEL Conference, Erick Jackson, the OCF Fair Elections Program Division Manager, and

Wesley Williams, the OCF Public Information and Records Management Division Manager, lead a morning roundtable discussion on “Starting a New Program, the Fair Elections Program in the District of Columbia.”

29. Please list in descending order the top 25 overtime earners in your agency in FY19 and FY20, to date, if applicable. For each, state the employee’s name, position number, position title, program, activity, salary, fringe, and the aggregate amount of overtime pay earned. Please describe the process the agency uses to determine which employees are granted overtime.

RESPONSE:

The list in descending order of the top 25 overtime earners in the Agency in FY19 and FY20, to date, is attached. **See Attachment M.** In general, the Agency has restricted the grant of overtime pay to those employees at the CS- 09 Level and below, to conserve the Agency resources, and granted Compensatory Time to employees who perform duties beyond their Tour of Duty in the OCF Community Outreach Program.

30. For FY19 and FY20, to date, please provide a list of employee bonuses or special pay granted that identifies the employee receiving the bonus or special pay, the amount received, and the reason for the bonus or special pay.

RESPONSE:

The Office of Campaign Finance did not grant employee bonuses or special award pay during FY19 and FY20, to date.

31. For FY19 and FY20, to date, please list each employee separated from the agency with separation pay. State the amount and number of weeks of pay. Also, for each, state the reason for the separation.

RESPONSE:

The Office of Campaign Finance did not separate any employees in FY19 and FY20, to date, from the Agency with separation pay.

- 32. Please provide the name of each employee who was or is on administrative leave in FY19 and FY20, to date. In addition, for each employee identified, please provide: (1) their position; (2) a brief description of the reason they were placed on leave; (3) the dates they were/are on administrative leave; (4) whether the leave was/is paid or unpaid; and (5) their current status.**

RESPONSE:

The List of employees on administrative leave in FY19 and FY20, to date is attached. See **Attachment N.**

- 33. Please provide each collective bargaining agreement that is currently in effect for agency employees. Please include the bargaining unit and the duration of each agreement. Please note if the agency is currently in bargaining and its anticipated completion.**

RESPONSE:

There are no collective bargaining agreements in effect for the employees of the Office of Campaign Finance.

- 34. If there are any boards, commissions, or task forces associated with your agency, please provide a chart listing the names, number of years served, agency affiliation, and attendance of each member. Include any vacancies. Please also attach agendas and minutes of each board, commission, or task force meeting in FY19 or FY20, to date, if minutes were prepared. Please inform the Committee if the board, commission, or task force did not convene during any month.**

RESPONSE:

The Office of Campaign Finance is established within the Board of Elections (the Board), an independent Agency of the District Government. The Board is comprised of three (3) members. The Office of Campaign Finance is responsible for the administrative operations of the Board under the Campaign Finance Act of 2011, as amended. See D.C. Official Code § 1-1163.02. The Board is created under D.C. Official Code §1-1101.02. The Executive Director of the Board is responsible for managing the daily operations of the Board, which includes the scheduling of the monthly public meetings of the Board, the preparation of the meeting agenda, and maintaining the minutes of the meeting, as well as the records relative to the service of the Board Members.

35. Please list all reports or reporting currently required of the agency in the District of Columbia Code or Municipal Regulations. Provide a description of whether the agency is in compliance with these requirements, and if not, why not (e.g. the purpose behind the requirement is moot, etc.).

RESPONSE:

D.C. Official Code, § 1-1163.04 (7) (2001 Edition, as amended), requires the Director of the Office of Campaign Finance to present to the Mayor, the Council, and the general public, commencing January 31, 2001, and every two years thereafter, a biennial report, summarizing, for the prior two year period, the receipts and expenditures of candidates for public office (except candidates for Advisory Neighborhood Commission Member), and of political committees, including principal campaign, exploratory, inaugural, transition, and legal defense committees; political action committees; and independent expenditure committees. The Agency is in compliance with this requirement. The most recent OCF Biennial Reports (2011, 2013, 2015, 2017, and 2019) may be viewed at the OCF Website, www.ocf.dc.gov.

On January 31, 2019, the Agency presented the OCF 2019 Biennial Report of Contributions and Expenditures to the Mayor and the Council of the District of Columbia, and to the public. The Report describes the receipts and expenditures of candidates for elective office, except for ANC candidates, for the prior two-year period, in dollar amount and percentage terms, by donor categories and the size of the donation, and expenditure type. Graphs are used to present the percentage terms. The receipts and expenditures of the political committees, political action committees, and independent expenditure committees are also summarized. The January 2019 Biennial Report presents a listing and chart depicting the “Top Three Committees by Contributions Received” during the past two-year period by in Part I. Candidates and Principal Campaign Committees”, by office type; Part II, the Political Action Committees; Part III, Independent Expenditures; Part IV, Inaugural Committees; and Part V, Exploratory Committees. By virtue of D.C. Law 22-250, the “Campaign Finance Reform Amendment Act of 2019”, effective March 13, 2019, as amended, and made applicable in part, on September 11, 2019, the Office of Campaign Finance will be required to publish the Biennial Report required by D.C. Official Code Section 1-1163.04 by December 31st of each odd numbered year.

In addition, D.C. Official Code Sections 1-1163.04(1) (A) and (3) require the Director of the Office of Campaign Finance to publish all information online in a searchable and sortable format, within 24 hours of filing, and to make the reports and statements filed with him or her available for public inspection and copying, commencing within 48 hours of receipt. Under the electronic filing system, financial reports are available real time upon submission at the OCF Website for inspection and for immediate download. The Office of Campaign Finance is currently in compliance with this statutory provision

D.C. Law 22-94, the “Fair Elections Amendment Act of 2018, effective May 5, 2018, and applicable November 7, 2018, established the Fair Elections Program in the Office of Campaign Finance. As codified in D.C. Official Code § 1-1163.32j, the Director of Campaign Finance will be required to submit a report to the Mayor and the Council no later than 9 months after the end of each election cycle concerning the administration of the Program, including the names of the participating and non-participating candidates, the payments made from the fund, the listing of qualified small dollar contributions by participating and non-participating candidate, a listing of expenditures by participating candidate, remitted funds, personal funds, and a review and evaluation of the Program on District elections and campaigns, and of national best practices relating to public financing programs, with recommendations for changes. The first report will be due no later than 9 months after the November 2020 General Election.

Last, during FY19, the members of the staff of the Office of the General Counsel who are employed as part of the Legal Services Program were required to demonstrate through a verification process conducted by the Department of Human Resources that they have maintained a Good Standing Status with the District of Columbia Bar. This is an annual mandatory reporting requirement for continued employment which cannot be waived. Following the verification process in FY 19, all members of the Office of the General Counsel staff who are employed through the Legal Services Program were determined to be in compliance with the Good Standing requirement. The verification process will be repeated during FY20 and all subsequent years in accordance with the Legal Services Act.

36. Please provide a list of any additional training or continuing education opportunities made available to agency employees. For each additional training or

continuing education program, please provide the subject of the training, the names of the trainers, and the number of agency employees that were trained.

RESPONSE:

The Office of Campaign Finance was able to provide employees with additional training opportunities during FY2019. The training was provided by the C.L. Russell Group a new Professional Development partnership formed with OCF and referred by the District's Human Resources Center for Learning and Development. The two training sessions titled Report Writing and Team Building through Chemistry were highly rated by managers and employees participating in the training. The Report Writing session was held on September 24th, 2019 (10:00 a.m. – 4:30 p.m.) and Team Building Through Chemistry was held on September 26th, 2019 (10:00 a.m. - 4:30 p.m.). Michele Proctor facilitated the Report Writing Seminar and Darren Bell facilitated the Team Building Through Chemistry Seminar. Overwhelmingly managers and staff rated the training sessions as highly effective, interactive and enjoyable. Workers say the sessions increased their ability to work together as a team across various divisions and programs. Seventeen employees completed the Report Writing Training. Nineteen employees completed the Team Building Through Chemistry Training.

In addition, a staff member of the Office of the General Counsel participated in a course offered by the District of Columbia Bar titled "Ethics and the Government Lawyer 2019" on July 31, 2019; and the General Counsel earned credits for Continuing Legal Education at the 2019 COGEL Conference. The FEP Information Technology Specialist attended the following classes offered by the Office of the Chief Technology Officer: Tableau Certification Training; MicroStrategy Training; and Dupral Training. The RAAD Audit Manager and the FEP Information Technology Officer also participated in Teammate Prework Audit Configuration Training, for which 16 Continuing Professional Education (CPE) Hours were awarded to each participant by Michael Charney, the Senior Director of Professional Services.

37. Please describe any initiatives that the Agency implemented in FY19 or FY20, to date, to improve the internal operations of the Agency or the interaction of the agency with outside parties. Please describe the results, or expected results, of each initiative.

RESPONSE:

First, the Office of Campaign Finance completed and launched the first phase of the E-Filing and Disclosure System for the Fair Elections Program (FEP) on July 26, 2019. The FEP E-Filing System enables the online submission of financial reports at the OCF Web Site by the candidates and committees who have registered in the Fair Elections Program, and the real time imaging of the financial reports for public view by the residents of the District of Columbia. The System allows candidates in the Fair Elections Program to upload supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications), with data entry/excel upload of contribution and expenditure information, with the Receipt/Contributor and Expenditure Schedules; and provides a registration module for FEP candidates. FEP Forms were made available at the OCF Website on March 18, 2019 for pre-population and download as follows: the Registration Form (OCF FEP Form 1); the Affidavit of Candidate and Treasurer Form (OCF FEP Form 2); and the Receipt and Affirmation Statement for Contributor Form (OCF FEP Form 3). The administrative modules of the FEP E-Filing System assist the OCF Staff with the verification of contributor information, the pre-certification and post certification qualification of Qualified Small Dollar Contributions, and the calculation of matching payments to determine when eligibility for certification as a participating candidate is achieved or the matching cap is reached.

The first candidate registered in the Fair Elections Program on April 7, 2019, and all candidates who registered in the Program thereafter were invited for a demonstration of the E-Filing System on July 25, 2019. All FEP participants successfully filed their financial reports and supporting documentation online at the OCF Website on July 31, 2019, the first filing deadline for the Program. The completion of the FEP E-Filing System was a major milestone in the implementation of the Fair Elections Program. During Fiscal Year 2019, fourteen (14) candidates registered their intent to seek participation in the Fair Elections Program; and the Office of Campaign Finance certified five (5) of these candidates into the Program and directed the disbursement of Base Amount and Matching Payments in the total sum of \$368,615.00.

Second, the Office of Campaign Finance established the Advisory Neighborhood Commission (ANC) Educational Outreach Initiative to reach a wider audience for the dissemination of information about the new Fair Elections Program. The Office of Campaign Finance partnered with the Office of Advisory Neighborhood Commissions to request the inclusion of the OCF on the public meeting agendas of the 40 ANCs, which consist of the 296 Single Member Districts, located in Wards 1 through 8, to introduce the Fair Elections Program to the community. By email dated March 14, 2019, Gottlieb Simon, the Executive Director of the Office on Advisory Neighborhood Commissions, notified all ANC Chairpersons that the OCF would be in contact to tell them about the new Fair Elections Program. Thereafter the Agency requested by email directed to the ANC Chairpersons to be placed on the respective ANC meeting agendas to inform their constituents about the Public Financing Program. From April 2019 to September 2019, the Office of Campaign Finance successfully presented the highlights of the new Fair Elections Program at the public meetings of 19 ANCs throughout the District of Columbia. The ANC Educational Outreach Initiative is ongoing.

In addition, during Fiscal Year 2019, the Agency broadened the scope of its existing Public Training Program to incorporate the Fair Elections Program in the Mandatory Training Conferences for new registrants (candidates and treasurers), and the onsite Public Training Seminars. The Agency once again through the OCF Community Outreach Program partnered with the Board of Elections in its 2019 Voter Registration and Education Outreach Campaign. The goal of the OCF Community Outreach Program is to participate in community events to expand the audience through which information may be disseminated on the Campaign Finance Laws and the role of the Agency to administer the laws. The Agency revised the Program to include information on the Fair Elections Program. The Agency participated in seven (7) events throughout the City.

Three of the joint ventures attended in the community were as follows: Wednesday, March 13, 2019 at So Others Might Eat (S.O.M.E.); Saturday, June 15, 2019 at the Mayor's Office on Asian and Pacific Island Festival; and Saturday, August 10, 2019, the North Capitol Collaborative, John Burroughs E.S., 1820 Monroe Street, N.E. The OCF and the BOE also teamed up to participate in the Metropolitan Police Department's (MPD) 2019 Community Outreach Program titled "Beat the Streets Series." The OCF's Supervisory Training Officer and

two staff members participated in the well-attended outreach events, held discussions, and provided the community with OCF Brochures. The dates and locations attended are as follows:

- Wednesday, June 15, 2019, the Kick-Off Event at MPD 1D (Ward 6), 201 N Street, S.W., in the Greenleaf Housing Community
- Wednesday, June 26, 2019, MPD 7D (Ward 8), 1300 Congress Street, S.E., in Congress Heights
- Wednesday, July 17, 2019, MPD (Ward 5), 21st Street and Maryland Avenue, N.E.
- Wednesday, August 14, 2019, MPD 7D (Ward 8) Beat the Streets Finale Event, 115 Atlantic St. S.W. (Bellevue Library)

The increased efforts of the Agency to inform and educate the public about the Campaign Finance Laws and the new Fair Elections Program through community outreach, strengthens the public's knowledge and confidence in the integrity of the election process, public office, and the ability of this Agency to enforce the Laws where violated.

The Agency continued to meet with both representatives of member organizations of the D.C. Fair Elections Commission and District residents who were strong advocates of the D.C. Law 22-94, the "Fair Elections Amendment Act of 2018," effective May 5, 2018, and participate in the Planning Committee organized by the OCF to develop policy recommendations to assist with the implementation of the Fair Elections Program. The meetings were held on November 14, 2019, February 28, 2019, March 14, 2019, April 17, 2019, April 24, 2019, June 6, 2019, July 18, 2019, August 29, 2019, and October 24, 2019. The OCF Managers also met individually with Members of the Planning Commission. Meetings will be scheduled during FY20 to discuss the development of the Debate Program, and future community educational outreach efforts.

The Planning Committee offers the opportunity for private citizens and community organizations to collaborate with the Office of Campaign Finance to plan a strong foundation for the Fair Elections Program in the areas of engagement of voters through community outreach, the use of technology to provide greater transparency and disclosure of campaign operations; the administration of the debate requirement; and creating candidate services to aid with compliance. The organization of the Planning Committee has established a critical link with the community which will assist the Office of Campaign Finance in determining how best to educate the public

concerning the introduction of the public financing of campaign operations in the District of Columbia.

Third, as the Committee was previously advised, by correspondence dated July 21, 2017, the Office of the Inspector General (OIG) advised the Office of Campaign Finance of its intent to commence a review of the OCF's Reports Analysis and Audit Division, focusing on the full field audit processes of the Agency, and certain specific Audit Reports issued by the Agency. The review was completed and is the subject of OIG Project No. 18-1-04CJ (September 2018). Although the Office of the Inspector General did not identify deficiencies in the OCF audit processes, the Inspector General recommended that work paper software would improve audit efficiency, and the organization of information and documentation. In this regard, the OCF reviewed the software application by TeamMate Solutions and procured the software as a subscription contract for three years (\$91,700 in the first year, and approximately \$49,200 each year thereafter), which includes Licenses, Training, and Hosting for sixteen (16) OCF Audit Positions. The TeamMate Audit Software Application will enable the OCF Auditors in both the Reports Analysis and Audit Division and the Fair Elections Program to better organize audit work papers and documentation using an electronic working papers database and streamline the audit process. The new audit software package (Teammate) will assist in the desk review and audit process and create a paperless storage system for all projects within the Audit Division. The software will allow the Audit staff to communicate with political committees through an internal control procedure "document request". The software was configured by the Audit Division. To date for FY20 the configuration process and end user training has been completed. The program will be up and running by February 1, 2020.

Last, the Office of the General Counsel continued its identification of the subject matter of each of the "Complaints and Final Decisions" listed at the Enforcement Link at the OCF Website from Calendar Years 2000 through 2019 to enable the revision of the Link to include the cases in the public search feature by topic. The revision of the "Complaints and Final Decisions" Link at the OCF Website during FY 18 to include a search feature by topic provides a more user-friendly resource for the public relative to the location and application of the Campaign Finance Laws by the Agency in specific types of investigative matters.

38. What are the agency’s top five priorities? Please explain how the agency expects to address these priorities in FY20. How did the agency address its top priorities listed for this question last year?

RESPONSE:

I. FY19 PRIORITIES

The top priorities listed for the Agency in Fiscal Year 2019, for the most part, centered around activities designed to prepare the Agency to administer the provisions of the “Fair Elections Amendment Act of 2018”, and were addressed as follows:

- (1) Reorganization of the Office of Campaign Finance to create a Fair Elections Program Division.

Effective December 14, 2018, the Office of Campaign Finance was reorganized to establish a Fair Elections Program Division. The Fair Elections Program Division is responsible for the verification of the contribution reports and other documents received in the Office from candidates participating in the Fair Elections Program or seeking certification in the Program. The Division makes recommendations for the certification of candidates into the Fair Elections Program and the authorization of Base Amount and Matching Payments; initiates referrals to the OGC for non-compliance actions and responds to appeals from Agency actions before the Board of Elections; conducts full field audits of the campaign operations of participating candidates at the submission of their final financial report; coordinates educational outreach for participating candidates, candidates seeking certification, and the public, and the Debate Program; collects data from financial reports for post-election reports; and manages the remission of funds.

The Office of Campaign Finance developed and finalized Standard Operating Procedures (SOPs) and an Audit Program for the Fair Elections Division, effective March 2019. The SOPs detail the internal operations of the Division, including, the mechanics of the verification process for Qualified Small Dollar Contributions; the calculation of caps for matching payments and the amounts for matching payments authorized from the Elections Fund; the public training and outreach component; the process for notification to candidates of actions taken by the Agency affecting their campaigns; the pre-notification and failure to file programs; and the collection and format of data for public disclosure. The Audit Program is unique to the requirements of the Fair Elections Program and provides for the verification, and full audit of the financial reports filed

under the Program. During Fiscal Year 2019, the Fair Elections Division verified, and desk reviewed twelve (12) financial reports filed by candidates in the Fair Elections Program, commencing with the first reporting deadline for the Program, July 31, 2019. The development of the Audit Program will ensure the full disclosure of accurate and complete data and provide supporting justification for the direction of base amount and matching payments to candidates certified as participating candidates in the Program.

- (2) Recruitment of the Positions for the Program, namely, the Fair Elections Program Manager (MSS-14), the Technology Specialist (CS-13), and the Auditor Positions (two (2) Auditor Positions (CS-13)) and (one (1) Auditor Position (CS-12)).

The Office of Campaign Finance developed Position Descriptions for the Fair Elections Program Manager, MSS-0340-14, and the Information Technology Specialist, CS-2210-13, and forwarded the draft Position Descriptions to the Department of Human Resources (DHR) for Classification on September 11, 2018. The Position Descriptions were approved for Classification on October 23, 2018, and the Vacancy Announcements for both Positions were published at the DHR Website on November 6, 2018, for a two (2) week period. In addition, the Office of Campaign Finance submitted the Vacancy Announcements for both Positions for publication at the Career Center Link at the Website of the Council on Governmental Ethics Laws (COGEL) and the Job Openings Link at the Election Center, the National Association of Election Officials.

As of September 5, 2019, all Positions in the Fair Elections Program Division have been filled, and the Program is completely staffed. Erick L. Jackson was selected as the Fair Elections Division Manager (MSS-14), effective January 22, 2019. Paul Awunor was selected for the Information Technology Specialist (CS-13), effective February 19, 2019. The Vacancy Announcements for the Auditor Positions (two (2) CS-13 and one (1) CS-12) assigned to the Program closed on February 3, 2019, and Tamika Hayes and Eddie Dufe were selected for the two (2) Auditor CS-13 Positions, effective April 1, 2019 and March 17, 2019, respectively; and Beruk Bunara was selected for the Auditor CS-12 Position, effective March 17, 2019. The Attorney Advisor, LS-13, in the Office of the General Counsel, was made available to the Fair Elections Program Division on January 22, 2019. The two (2) vacant Auditor Positions, one (1)

CS-11 and one (1) CS-9, in the Reports Analysis and Audit Division, were reassigned to the Fair Elections Program Division, and were filled, effective May 17, 2019 and July 8, 2019, respectively. A Policy Analyst CS-12 Position was established for the Fair Elections Division and filled on July 22, 2019.

(3) Development of the E-Filing and Disclosure System for the Fair Elections Program.

The Office of Campaign Finance completed and launched the first phase of the E-Filing and Disclosure System for the Fair Elections Program (FEP) on July 26, 2019. The FEP E-Filing System enables the online submission of financial reports at the OCF Web Site by the candidates and committees who have registered in the Fair Elections Program, and the real time imaging of the financial reports for public view by the residents of the District of Columbia. The System allows candidates in the Fair Elections Program to upload supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications), with data entry/excel upload of contribution and expenditure information, with the Receipt/Contributor and Expenditure Schedules; and provides a registration module for FEP candidates. FEP Forms were made available at the OCF Website on March 18, 2019 for pre-population and download as follows: the Registration Form (OCF FEP Form 1); the Affidavit of Candidate and Treasurer Form (OCF FEP Form 2); and the Receipt and Affirmation Statement for Contributor Form (OCF FEP Form 3). The administrative modules of the FEP E-Filing System assist the OCF Staff with the verification of contributor information, and the pre-certification and post certification qualification of Qualified Small Dollar Contributions, and the calculation of matching payments to determine when eligibility for certification as a participating candidate is achieved or the matching cap is reached. In addition, the OCF Website has been enhanced to include a “slider” dedicated to the Fair Elections Program, with a link, which features information solely relative to the Program. The link is routinely updated as information becomes available.

The first candidate registered in the Fair Elections Program on April 7, 2019, and all candidates who registered in the Program thereafter were invited for a demonstration of the E-Filing System on July 25, 2019. All FEP participants successfully filed their financial reports and supporting documentation online at the OCF Website on July 31, 2019, the first filing deadline for the Program. The completion of the FEP E-Filing System was a major milestone in the

implementation of the Fair Elections Program. During Fiscal Year 2019, the Office of Campaign Finance certified five (5) candidates into the Fair Elections Program and directed the disbursement of Base Amount and Matching Payments in the total sum of \$368,615.00.

- (3) Proposal of OCF Regulations, Forms, and Guidance. The Office of the General Counsel will promulgate regulations, draft forms, a revised Campaign Finance Guide, and filing and training calendars to fully implement the requirements of the “Fair Elections Amendment Act of 2018.”

On January 4, 2019, the Board of Elections published a Notice of Proposed Rulemaking in the District of Columbia Register (Volume 66/1) of its intent to take final rulemaking action to adopt Chapter 42, “The Fair Elections Program”, and Chapter 43, “The Verification Process”, amendments to Title 3 (Elections and Ethics”) of the District of Columbia Municipal Regulations, in not less than thirty (30) days from the date of the publication. The purpose of the Regulations was to fully implement the provisions of the “Fair Elections Amendment Act of 2018”. Comments were received during the public comment period. The Notice was revised to adopt amendments to Chapter 3, “Advisory Opinions of the Board”, Chapter 37, “Investigations and Hearings”, Chapter 42, “The Fair Elections Program”, and Chapter 43, “The Verification Process”, to incorporate the comments, and to realign the regulations with the Campaign Finance and Fair Elections Acts. (See Notice of Proposed Rulemaking published on March 22, 2019 in the D.C. Register, Volume 66/12). The Notice of Final Rulemaking was adopted by the Board and published in the D.C. Register on May 31, 2019 (Volume 66/22).

On July 12, 2019, the Board of Elections published a Notice of Final Rulemaking in the D.C. Register (Volume 66/28) to further amend the Regulations governing the traditional campaign finance operations to incorporate the Fair Elections Act, including Chapter 30, “Campaign Finance Operations: Committees, Candidates, Constituent Service Programs, Statehood Funds”; Chapter 34, “Campaign Finance Recordkeeping and Audits”; Chapter 37, “Investigations and Hearings”; and Chapter 99, “Definitions”. The Notice of Proposed Rulemaking was published in the D.C. Register on April 19, 2019 (Volume 66/16).

On October 11, 2019, the Board published a Notice of Final Rulemaking on October 11, 2019 in the D.C. Register (Volume 66/42) to amend Chapter 42, “The Fair Elections Program”, and

Chapter 43, “The Verification Process” to place the regulations into conformity with the Fair Elections Amendment Act of 2018, as amended by the Fair Elections Emergency Amendment Act of 2019. The Notice of Proposed and Emergency Rulemaking was published in the D.C. Register on June 21, 2019 (Volume 66/25), and republished on August 16, 2019 (Volume 66/34), with revisions.

The 2019 Training Calendar was published at the OCF Website on December 14, 2018 and included Seminars specific to the Fair Elections Program.

(4) Development of the Educational Component for the Program.

During FY19, the Office of Campaign Finance created educational materials about the Fair Elections Program, which are available for review at the OCF Website, and for dissemination to the public onsite in the Agency Office, and at community events. The materials include an informative and concise pamphlet that explains the Fair Elections Program, how it works, and who is eligible to participate and when, titled the “Public Financing Program – Thinking of Running For Office in the District of Columbia? You May Qualify for Public Funding”; PowerPoint presentations offering an analysis of the Fair Elections Amendment Act of 2018; and Brochures titled “The District of Columbia’s Fair Election Process”, and “Fact Sheet for the Fair Elections Program During the 2020 Election Cycle”. The Brochure titled the “Public Financing Program – Thinking of Running For Office in the District of Columbia? You May Qualify for Public Funding” was forwarded to DCTV on May 10, 2019 for posting on DCTV’s Bulletin Board Monday through Friday (10:00 am – 11:00 am) and on Sunday (9:00 am – 11:00 am). The Bulletin Board provides information on local programs and events. On May 10, 2019, the Agency confirmed a 30 second Public Service Announcement on the Fair Elections Program to WTOP FM Radio for dissemination for six (6) months to the public; and on June 26, 2019, a Public Service Announcement was recorded by the Fair Elections Program Manager and aired on the DC Cable Channel 16, beginning July 14, 2019, through January 5, 2020. The Agency has requested and received confirmation on January 24, 2020 of the continued airing of the PSA on WTOP; and requested the continued airing of the PSAs on DCTV and the OCF Brochure on the DCTV’s Bulletin Board through the November 3, 2020 General Election.

Second, the Office of Campaign Finance established the Advisory Neighborhood Commission (ANC) Educational Outreach Initiative to reach a wider audience for the dissemination of information about the new Fair Elections Program. The Office of Campaign Finance partnered with the Office of Advisory Neighborhood Commissions to request the inclusion of the OCF on the public meeting agendas of the 40 ANCs, which consist of the 296 Single Member Districts, located in Wards 1 through 8, to introduce the Fair Elections Program to the community. By email dated March 14, 2019, Gottlieb Simon, the Executive Director of the Office on Advisory Neighborhood Commissions, notified all ANC Chairpersons that the OCF would be in contact to tell them about the new Fair Elections Program. Thereafter the Agency requested by email directed to the ANC Chairpersons to be placed on the respective ANC meeting agendas to inform their constituents about the Public Financing Program. From April 2019 to September 2019, the Office of Campaign Finance successfully presented the highlights of the new Fair Elections Program at the public meetings of nineteen (19) ANCs throughout the District of Columbia. The ANC Educational Outreach Initiative is ongoing.

In addition, the OCF incorporated the Fair Elections Education Program into its existing Public Training seminars. Those seminars include the Mandatory Entrance Conferences, monthly webinars targeting candidates and treasurers titled Understanding the Rules of the Campaign Finance Game, and the public seminars offered monthly for candidates and committees, the Constituent Services and Statehood Fund Programs, the Legal Defense, Exploratory, Inaugural, and Transition Committees, and the public. All educational materials utilized in the seminars were updated to include the Fair Elections Program. The Agency has also utilized its social media outlets, Facebook and Twitter to inform the public about upcoming presentations in the community or onsite trainings about the Fair Elections Public Financing Program.

Last, the Agency during FY 19, executed its responsibilities associated with core mission and support functions directly related to the collection, review, and disclosure of financial reports, and enforcement responsibilities for the candidates and committees who participated in the 2018 General Election, continuing committees, and the Constituent Service and Statehood Fund Programs. The Agency organized site visits by the OCF Staff 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 Wards during the November 6, 2018 General Election. The site visits afford the Agency the

opportunity to be present in the community and available to the public to respond to questions, and to assist the public in understanding their obligations under the Campaign Finance Act, and the role of the Office of Campaign Finance in administering the Act. The OCF Staff provided counsel where necessary. Electioneering markers were accurately measured and placed at the 50-foot boundary from the Precinct entrance; electioneering activity was conducted within the appropriate boundaries; and most campaign signs observed displayed the proper disclaimers.

The Agency through the E-Filing and Disclosure System provided real time disclosure of all financial reports electronically filed. Further, the information submitted by filers, pursuant to the Campaign Finance Act, was made available online, within 24 hours of filing in a sortable and searchable format; and all reports and statements were made available for public inspection within 48 hours of receipt. Overall, these efforts collectively serve the public interest by ensuring that the electorate has accurate information upon which it can rely to make educated, informed decisions during the election process.

The Agency produced and disseminated in an electronic format on January 31, 2019, the 2019 OCF Biennial Report of Contributions and Expenditures to the Mayor and the Council of the District of Columbia, and to the public. The Report describes the receipts and expenditures of candidates for elective office, except for ANC candidates, for the prior two-year period, in dollar amount and percentage terms, by donor categories and the size of the donation, and expenditure type. Graphs are used to present the percentage terms. The receipts and expenditures of the political committees, political action committees, and independent expenditure committees were also summarized.

Through the Audit Program, the Agency ensured compliance with the reporting requirements, and the complete and accurate representation of campaign financial activity. The Audit Branch conducted full field audits of the campaign operations of four (4) candidates newly elected to the State Board of Education following the certification of the 2018 General Election Results. The Audits resulted in the issuance of three (3) Compliance Audit Reports, and the issuance of a non-compliance Audit Report which is under review by the Office of the General Counsel. The Agency also conducted full field audits of an Inaugural Committee organized following the 2018 General Election, which resulted in a Compliance Audit Report, and of the Principal Campaign

Committee of a candidate active in the 2018 Election Cycle which resulted in a Non-Compliance Audit Report; 304 reviews of the Summary Financial Statements of candidates for the Office of Advisory Neighborhood Commission Member due following the certification of the results of the November 2018 General Election; and 970 Desk Reviews of all Reports of Receipts and Expenditures filed with the Agency throughout the Fiscal Year. The Agency issued 15 Periodic Audit Reports of the financial reports of the Constituent Service Programs, following the close of the October 1st and April 1st Filing Deadlines; the principal campaign committees of candidates active in the 2018 Election Cycle; and of the continuing political action committees following the January 31st and July 31st Filing Deadlines.

II. FISCAL YEAR 2020 PRIORITIES

The top priorities for the Agency in Fiscal Year 2020, and how the Agency intends to address those priorities, are as follows:

- (1) Development of the Second Phase of the FEP E-Filing and Disclosure System. During FY 20, to date, the Office of Campaign Finance on November 4, 2019 initiated Requisition No. K140026 (\$133,764.00 approximate cost), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. This Phase will provide Reports, for public and administrative use, including the Nine (9) month Report of the Agency following the election cycle detailing the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary contribution and expenditure reports to provide the public with the capability to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or expenditure type; administrative Failure to File and Filer Reports; Candidate and Committee Quick Stats searchable by filing year and/or date range, which will allow the public to obtain statistical information for candidate committees based on contribution type, denomination of contribution, and will list the top ten (10) committees based on total contributions and total loans; Public Funds Payout Report which will present online the amount of public funds Fair Election candidates have received (Base amounts and matching payments), in total for all committees combined as well as separately for each committee, and the amount of public funds received for each reporting period in total and per filer; Public lists of Certification or revocation dates of candidates under the Fair Elections

Program; and Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees to enable the search of contributions by the recipient, report name (including filing year), amount (with value range), date (with date range), contributor name, contributor address (by city, state, zip code), and contribution type (cash, check, credit card, etc.); and expenditures by the payor, report name, amount (with value range), date (date range), payee name (individual, business), payee location (by city, state, zip), and expenditure type (based on Schedule B of the R&E Report).

In addition, public search features will be developed for the search of Complaints and Final Orders/Informal Hearing Orders/Final Audits by type of order or audit, and will be specific to the committee as a part of the committee's history; Contributions by Geography with the capability to search contributions received by a candidate's committee based on the D.C. Zip Codes of the contributor; and Registration Disclosures, which will provide a list of all registered Fair Election Committees for the public to review, with information for each committee regarding the date of registration, the listing of chairperson and treasurer, financial reports filed, and any audits or orders issued to the committee. An Excel Upload feature will be developed with the ability for the filer to upload an excel spreadsheet of their contributions and expenditures. Flagged Contributions Reports will be created to enable the Agency to run reports for all filer types identifying committees that have received excessive contributions (in the aggregate). Searches available will include the ability to research excessive contributions by filer type, filing year and report name. Excessive contributions will be grouped by contributor name; similar sounding names; similar spelling names and contributor address.

Further, the System administratively will have the capability to create reminder letters and non-compliance letters for mass mailings, and for text notifications; to run reports listing committees that have registered with OCF under the Fair Elections Program, grouped by filer type, election year and registration documents filed; to manage reporting periods and the coverage dates for each report; identify the use by committees of the excel upload feature to file reports, will identify which template (report schedule) is imported, import date and time, total number of records entered and imported, and number of invalid records and valid but not imported records; within the committee registration module provide a checkoff to identify whether a candidate has attended a required entrance conference, and generate from the data entered an attendance and

non-attendance list; manage the various covered offices under the Fair Elections Program, and assign the respective applicable election year(s) and contribution limits for each; manage and set the election (general, primary, and special) dates for applicable covered offices as mandated by law; and create reporting coverage dates for specific committees, with the capability to control the floating or optional filing dates for a committee so that it pairs up correctly with its required filing dates.

Last, the System will enable the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement will be automatically emailed to the filer for signature along with a link for the filer to create login information. The filer will also have the ability (Multiple login – filer (i.e., the candidate) to provide access for different users to data enter information for reports by creating and managing specific login information for the user. The OCF will be provided with a list of those users.

(2) The FEP Debate Program. During Fiscal Year 2020, the Fair Elections Division will develop a Debate Program within the Division for the conduct of debates in city wide elections where elections are contested, involve more than one participating candidate in the Fair Elections Program, or any candidate who has qualified for ballot access who is not a participating candidate in the FEP Program, and has consented to participate in a debate. The first potential debate will be for citywide candidates participating in the Fair Elections Program in the June 2, 2020 Primary Election. To develop the FEP Debate Program, the Office of Campaign Finance has requested the input of the Fair Elections Planning Committee, the League of Women Voters, and various media resources, as well as consulted with the New York City Campaign Finance Board. The OCF will design an application for those who are interested in facilitating the debate. The debates will provide voters with the opportunity to hear directly from candidates on issues that are important to residents of the District of Columbia.

(3) The Office of Campaign Finance will develop and employ Public Service Announcements, Videos, and Household Mailers to increase the scope of its outreach to the public, and more effectively educate the residents of the District of Columbia about the Fair Elections Program, and any scheduled candidate debates. The Agency has requested and received confirmation on January 24, 2020 of the continued airing of the PSA on WTOP; and requested the continued

airing of the PSAs on DCTV and the OCF Brochure on the DCTV's Bulletin Board through the November 3, 2020 General Election. The Agency will develop and use a household mailer for residents of the District of Columbia to provide information on the Fair Elections Program and notice of any scheduled debates for dissemination in April 2020.

(4) FEP Candidate Outreach. The Fair Elections Division will develop and offer training and technical assistance to candidates on the effective use of the FEP E-Filing System to submit financial reports online and upload contributor receipts and affirmations and committee financial documents.

(5) Dissemination of Information about Recent Amendments to the Campaign Finance Act. During Fiscal Year 2020, the Agency will through rulemaking, mandatory and public training, Notices at the OCF Web Site, and the revision of OCF Forms Brochures, and Training Materials, inform the public of the amendments to the Campaign Finance Laws, applicable September 11, 2019, by virtue of D.C. Law 22-250, the "Campaign Finance Reform Amendment Act of 2018, effective March 13, 2018. The amendments will, among other things, lower the contribution limits of certain committees, change the certification requirements for the financial reports of political action and independent expenditure committees, lower the threshold reporting requirements for the bundlers of contributions, require the disclosure of employer information by contributors and those to whom expenditures are made, and impose increased reporting requirements for campaign literature, timeframes for the termination of certain committees and the payment of debt before personal liability attaches to candidates. On October 11, 2019, the Board of Elections adopted and published in the D.C. Register the "Notice of Emergency and Proposed Rulemaking" (Volume 66/42) to amend the Regulations to place the Board's regulations into conformity with the Campaign Finance Act of 2011, as amended by the Campaign Finance Reform Amendment Act of 2019, effective March 13, 2019, and the Fiscal Year 2020 Budget Support Act of 2019, effective September 11, 2019. The Notice of Final Rulemaking was adopted by the Board of Elections on November 14, 2019 and published in the D.C. Register on November 22, 2019 (Volume 66/48).

39. Please list each new program implemented by the agency during FY 19 and FY 20, to date. For each initiative please provide:

- a. A description of the initiative;**
- b. The funding required to implement the initiative; and**
- c. Any documented results of the initiative.**

RESPONSE:

I. FY19 PROGRAMS

First, the Office of Campaign Finance completed and launched the first phase of the development of the E-Filing and Disclosure System for the Fair Elections Program (FEP) on July 26, 2019. (Requisition 116441 – FY 19 FEP E-Filing System: Purchase Order 608528 - \$160,533.57). The FEP E-Filing System enables the online submission of financial reports at the OCF Web Site by the candidates and committees who have registered in the Fair Elections Program, and the real time imaging of the financial reports for public view by the residents of the District of Columbia. The System allows candidates in the Fair Elections Program to upload supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications), with data entry/excel upload of contribution and expenditure information, with the Receipt/Contributor and Expenditure Schedules; and provides a registration module for FEP candidates. FEP Forms were made available at the OCF Website on March 18, 2019 for pre-population and download as follows: the Registration Form (OCF FEP Form 1); the Affidavit of Candidate and Treasurer Form (OCF FEP Form 2); and the Receipt and Affirmation Statement for Contributor Form (OCF FEP Form 3). The administrative modules of the FEP E-Filing System assist the OCF Staff with the verification of contributor information, and the pre-certification and post certification qualification of Qualified Small Dollar Contributions, and the calculation of matching payments to determine when eligibility for certification as a participating candidate is achieved or the matching cap is reached.

The first candidate registered in the Fair Elections Program on April 7, 2019, and all candidates who registered in the Program thereafter were invited for a demonstration of the E-Filing System on July 25, 2019. All FEP participants successfully filed their financial reports and supporting documentation online at the OCF Website on July 31, 2019, the first filing deadline for the Program. The completion of the FEP E-Filing System was a major milestone in the

implementation of the Fair Elections Program. During Fiscal Year 2019, a total of fourteen (14) candidates registered their intent to seek participation in the Fair Elections Program; and the Office of Campaign Finance certified five (5) candidates into the Program and directed the disbursement of Base Amount and Matching Payments in the total sum of \$368,615.00.

Second, the Office of Campaign Finance established the Advisory Neighborhood Commission (ANC) Educational Outreach Initiative to reach a wider audience for the dissemination of information about the new Fair Elections Program. The Office of Campaign Finance partnered with the Office of Advisory Neighborhood Commissions to request the inclusion of the OCF on the public meeting agendas of the 40 ANCs, which consist of the 296 Single Member Districts, located in Wards 1 through 8, to introduce the Fair Elections Program to the community. By email dated March 14, 2019, Gottlieb Simon, the Executive Director of the Office on Advisory Neighborhood Commissions, notified all ANC Chairpersons that the OCF would be in contact to tell them about the new Fair Elections Program. Thereafter, the Agency requested by email directed to the ANC Chairpersons to be placed on their meeting agendas to inform their constituents about the Public Financing Program. From April 2019 to September 2019, the Office of Campaign Finance successfully presented the highlights of the new Fair Elections Program at the public meetings of nineteen (19) ANCs in communities throughout the District of Columbia. The ANC Educational Outreach Initiative is ongoing. The Agency did incur overtime costs associated with this Initiative. **See Attachment M, the List of the Top 25 Overtime Earners in FY19 and FY20, to date.**

Third, as the Committee was previously advised, by correspondence dated July 21, 2017, the Office of the Inspector General (OIG) advised the Office of Campaign Finance of its intent to commence a review of the OCF's Reports Analysis and Audit Division, focusing on the full field audit processes of the Agency, and certain specific Audit Reports issued by the Agency. The review was completed and is the subject of OIG Project No. 18-1-04CJ (September 2018). Although the Office of the Inspector General did not identify deficiencies in the OCF audit processes, the Inspector General recommended that work paper software would improve audit efficiency, and the organization of information and documentation. In this regard, the OCF reviewed the Audit Subscription Application by Walter Kluwer Financial/TeamMate Solutions and procured the software as a subscription contract for three years (\$91,700 in the first year, and

approximately \$49,200 each year thereafter). (Purchase Order No. 610161 - Fiscal Year 2019: – \$91,700.) The Subscription Contract provides subscription licenses, maintenance support implementation, configuration of audit reports, training and hosting and subscription for sixteen (16) OCF Auditors. The TeamMate Audit Application will enable the OCF Auditors in both the Reports Analysis and Audit Division and the Fair Elections Program to better organize audit work papers and documentation and will streamline the audit process.

Fourth, and last, the Office of Campaign Finance is responsible for the administration of the Fair Elections Program, as established by the “Fair Elections Amendment Act of 2018”, D.C. Law 22-94, effective May 5, 2018, and applicable November 7, 2018, as amended. The Office of Campaign Finance was reorganized by Administrative Issuance No. 2018-01, effective December 14, 2018, to establish the Fair Elections Program Division. The Fair Elections Program Division is responsible for the verification of the contribution reports and other documents received in the Office from candidates participating in the Fair Elections Program or seeking certification in the Program. The Division makes recommendations for the certification of candidates into the Fair Elections Program and the authorization of Base Amount and Matching Payments; initiates referrals to the OGC for non-compliance actions and responds to appeals from Agency actions before the Board of Elections; conducts full field audits of the campaign operations of participating candidates at the submission of their final financial report; coordinates educational outreach for participating candidates and candidates seeking certification; manages the Debate Program; collects data from financial reports for post -election reports; and manages the remission of funds.

The FY 2019 OCF Approved Budget included increases in the personal services budget to fund three (3.0) Full-Time Equivalents (FTEs) Auditor Positions (\$248,000.00) in the Fair Elections Program, and a further personal services increase of \$260,558 for two (2.0) Full-Time Equivalents (FTEs): a Fair Elections Program Manager, to oversee the Program, and serve as a point person for community engagement; and a Chief Technology Officer, to oversee the technological aspects of the Program.

As of September 5, 2019, all Positions in the Fair Elections Program Division have been filled, and the Program is completely staffed. **See Attachment C, the Schedule A for the Office of Campaign Finance, including the Fair Elections Program Division.**

The FY19 Budget provided ample funding for the implementation of these initiatives.

II. FY20 PROGRAMS

During FY 20, to date, the Office of Campaign Finance on November 4, 2019 initiated Requisition No. RK140026 (\$133,764.00 approximate cost), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program to provide Reports, for public and administrative use, as more fully described in the OCF Response to Question No. 38.

The Office of Campaign Finance will also develop and employ public service announcements and household mailers to continue to increase the scope of its outreach to the public, and more effectively educate the residents of the District of Columbia about the Fair Elections Program, and any scheduled debates; develop a Debate Program for the conduct of debates in city-wide elections where the elections are contested, involve more than one participating candidate in the Fair Elections Program, or any candidate who has qualified for ballot access, is not a participating candidate, and has consented to participate in a debate. The first potential debate will be for citywide candidates participating in the Fair Elections Program in the June 2, 2020 local Primary Election. The debates will provide voters with the opportunity to hear directly from candidates on issues that are important to the residents of the District of Columbia.

The Fiscal Year 2020 Budget provides ample funding for the implementation of these initiatives.

40. How does the agency measure programmatic success? Please discuss any changes to outcomes measurement in FY19 and FY20, to date.

RESPONSE:

In general, the Agency measures the success of certain aspects of its Programs (Legal, Audit, Public Information, and the Fair Elections Program) based upon the ability to complete/perform defined tasks within a time certain, established by the Campaign Finance Laws or Regulations,

or the OCF Standard Operating Procedures. For example, the desk review of financial reports and the conduct of informal hearings must be completed before the next filing deadline; interpretative opinions must be issued within thirty (30) days of request; random audits must be completed within sixty days of initiation; financial reports must be made available for public review within 48 hours of receipt; requests for expedited advice must be resolved within fifteen (15) days; and the certification of FEP candidates within ten (10) business days of filing the affidavit declaring compliance with the Act. In other areas, the success of a program may be based on the actual number of participants for a specific activity. Specifically, the measure for the success of the Mandatory Electronic Filing Program and the Mandatory Training Program has been based on the number of registrants with the Office of Campaign Finance who have complied with both Programs. Moreover, the decrease in the initiation of enforcement actions may be directly attributable to the success of these Programs and the personal accountability required of candidates and treasurers through the certification to follow and comply with the Campaign Finance Laws. The achievement of these goals ensures the timely, accurate, and complete portrayal of campaign operations and the disclosure of financial records to the public upon which it can rely to make informed decisions in the election process.

During FY19, the Office of Campaign Finance achieved a 100% compliance rate with the legislative mandate to file all financial reports online at the OCF Website. 1099 of the 1099 total reports received during FY 19 were filed electronically. The submission of financial reports online provides the public with real time access to the financial transactions reported by candidates, committees, and the Constituent Service and Statehood Fund Programs. 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.

In addition, the OCF achieved 99% compliance with the legislative mandate for newly registered candidates and the treasurers of newly organized committees to attend the training. The Agency issued Certificates of Attendance to each of the forty-five (45) new candidates, including those candidates seeking certification in the Fair Elections Program, and treasurers who registered during FY 19 and swore or affirmed to follow the Campaign Finance Laws. The names of the participants were posted at the OCF Web Site and included in the monthly production statistics

of the Agency presented to the Board of Elections. The name of the non-compliant Treasurer was referred to the Office of the General Counsel for the initiation of enforcement proceedings.

The near 100% compliance rate assured the residents of the District of Columbia that the filing community has participated in and received training to specifically address their obligations and duties under the Campaign Finance laws and made a commitment to comply with those laws. The compliance rate also promotes voluntary compliance with the Campaign Finance Laws as demonstrated through the 95% compliance rate achieved for the filing of Reports of Receipts and Expenditures by the total required filers who complied with the reporting requirements during Fiscal Year 2019. The Agency uses Surveys in its Educational Program to assess the content and performance of the trainer, and online surveys to evaluate the E-Filing System and the Website content and services.

During Fiscal Year 2019, the Agency introduced two (2) new Key Performance Indicators pertaining to the responsibilities of the Agency to administer the Fair Elections Program, under the Objective Numbered 3, “Provide fair, effective, and efficient audit programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act”, namely: the “Percent of Base Amount Payments distributed within five (5) business days of the certification of a candidate into the Fair Elections Program”; and the “Percent of candidates determined to meet requirements for certification by OCF within five (5) days of filing the affidavit declaring compliance with the Fair Elections Program.”

For Fiscal Year 2020, consistent with recent amendments to the Fair Elections Act, the Agency added a new Objective Number 6, “Provide a fair, effective, and efficient public financing program for candidates who qualify to participate in the program and agree to abide by its requirements”. The three (3) 2020 Key Performance Indicators for the Objective are: “Percent of Base Amount and Matching Payments authorized for disbursement within five (5) days of the certification of a candidate into the Fair Elections Program”; Percent of candidates determined to meet requirements for certification by OCF within ten (10) business days of filing the affidavit declaring compliance with the Fair Elections Program”; and “Percent of matching payments directed for disbursement to participating candidates within five (5) days after the receipt of

financial reports”. The two (2) 2020 Workload Measures associated with this Objective are: the “Total number of candidates certified as participating candidates in the Fair Elections Program”; and the “Total number of pre-election and post-election audits completed by the Fair Elections Program”.

41. What are the top metrics regularly used by the agency to evaluate its operations? Please be specific about what data points are monitored by the agency.

RESPONSE:

The OCF Key Performance Indicators, Measures and Target, and the Workload Measures for each Program are discussed below:

(1) Provide fair, effective, and timely enforcement programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act. (3 Key Performance Indicators and 3 Workload Measures)

a. Percent of informal hearings conducted and closed before the next filing deadline. The target is 100%. The objective of the Office of the General Counsel is to conduct informal hearings and resolve alleged violations of the reporting requirements prior to the next filing deadline. The corresponding Workload Measure is the “Total Number of informal hearings conducted”, which information is collected from the monthly activity reports of the OGC (which include the number of “Informal Hearings Referred,” “Informal Hearings completed”, and “Informal Hearing Orders Issued”), and is based upon the actual date of the referral of the reporting deficiency for enforcement, the notices of hearings, the Orders of the Director published at the OCF Website disposing of these matters, and the next filing date of the filer.

b. Percent of Interpretative Opinions issued within thirty (30) days. The target is 100%. Section 3305.5 of Title 3, “Elections and Ethics,” of the Regulations of the Board of Elections requires the Director of Campaign Finance to respond in writing within thirty (30) days of the acceptance for review of a request for an interpretative opinion. The corresponding Workload Measure is the “Total number of Interpretative Opinions and Expedited Advice issued”. The OCF collects data to evaluate this measure from the monthly activity reports of the Office of the General Counsel,

which include the number of requests received and issued; and is based upon the records of the General Counsel which docket the date of receipt of the request, and assign a number that identifies the calendar year of receipt and the sequential order in which the request was received, and the date the Interpretative Opinion is issued and published at the OCF Website. The OCF determines whether the target of issuance within thirty (30) days was achieved from comparing the date of actual receipt against the date the opinion was issued, using the afore-mentioned sources.

- c. Percent of expedited advice for time-sensitive election related matters issued within fifteen (15) days of request. The target is 100%. The corresponding Workload Measure is the “Total number of Interpretative Opinions and Expedited Advice issued”. The OCF collects data to evaluate this measure from the monthly activity reports of the Office of the General Counsel, which include the number of requests for “Internal Queries” received and issued; and is based upon the records of the General Counsel which docket the date of receipt, assign an advice number that includes the calendar year of receipt and the sequential order in which the request was received; and the date the advice is issued in writing. The OCF determines whether the target of issuance within fifteen (15) days was achieved from comparing the date of actual receipt against the date the advice was issued, using the afore-mentioned sources.

(2) Provide high quality educational outreach services (entrance conferences, training seminars, publications, and online tutorials) to increase full disclosure and voluntary compliance with the Campaign Finance Act (1 Workload Measure and one Key Performance Indicator)

- a. Percent of new candidates and treasurers who receive mandatory training. The corresponding Workload Measure is the “Total number of mandatory training conferences conducted. The target is 100%. D.C. Official Code § 1- 1163.04 (7A) requires the candidates and treasurers of each committee to enroll in mandatory training at the OCF upon their registration. The objective of the measure is to measure the actual compliance with the mandatory training requirement and ensure that each new registrant receives training on the reporting requirements of the Campaign Finance Laws. The OCF collects data to evaluate this measure from the

monthly activity reports of the Public Information and Records Management Division, which states the number of new candidate and committee registrations received during the coverage period, based on information stored in the OCF Database, the names of the participants, and the dates of the entrance conferences conducted. At registration, each new candidate and the treasurer of each new committee, is scheduled for mandatory training. At the conclusion of the training, the participant is issued a Certificate of Completion. The OCF maintains an attendance sheet and copies of the executed certificates in its records. The names of the participants are published at the OCF Website. To validate the actual number of entrance conferences conducted, the OCF generates a list of the new registrants from the OCF Database and compares it to the roster of entrance conference attendees, the executed certificates, and the monthly production reports of the Agency.

- (3) Provide fair, effective, and efficient audit programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act. (2 Workload Measures and 2 Key Performance Indicators).
- a. Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline. The target is 100%. D.C. Official Code § 1-1163.03 (a)(1)(H) authorizes the Director to make audits and field investigations from time to time of the financial reports filed under the Act. The corresponding Work Measure is the “Total number of financial reports reviewed, evaluated, and analyzed for the reporting period”. The objective is to review each report filed for complete and accurate reporting to ensure full disclosure before the next reporting deadline. The outputs and outcomes of this Performance Indicator are determined based upon the actual number of desk audits completed before the next filing deadline of the financial reports filed on the preceding filing deadline. To monitor this measure, the Agency collects the actual number of financial reports received as reported in the OCF Database, the listings of financial reports referred by the Public Information Division to the Audit Division for review, and the actual number of desk reviews conducted by the Audit Division as maintained in the Division Records and reported in its monthly production statistics provided to the Board of Elections and published at the OCF Website. To validate the data, the Agency compares the number of actual reports received as captured on the

OCF Database, the listings referred by the PIRM Division to the Audit Division for review, and the monthly activity statistics of the Audit Division.

- b. Percent of periodic random audits conducted within sixty (60) days of initiation. The target is 100%. D.C. Official Code § 1-1163.03 (a)(1)(H) authorizes the Director to make audits and field investigations from time to time of the financial reports filed under the Act. The corresponding Work Measure is the “Total number of periodic random and full field audits completed by the Audit Division”. The objective of the measure is to obtain full and complete disclosure of campaign operations through the audit process in a timely manner. To monitor this measure, the Agency researches and collects the actual number of audits conducted based on the monthly production statistics of the Audit Division which report the status of all ongoing audits, the letters of notification to filers of the initiation of audits, the actual number and date of Audit Reports issued by the Director and published at the OCF Website, and the Agency monthly production statistics presented to the Board of Elections and published at the OCF Website. To validate the data, the Agency compares the number of Audit Reports approved by the Director and published at the Website with the OCF monthly production statistics which include the Audit Division statistics, and the audit notification letters.
- (4) Provide a high-quality web-internet based public disclosure system to receive the online submission of financial reports, and to ensure the availability of campaign finance data and information in a manner that is easy to navigate, search, sort, and retrieve at the OCF Website. (Two Workload Measures and One Key Performance Indicator)
- a. Total number of financial reports filed electronically and “Total number of financial reports filed.” The Key Performance Indicator is the “Percent of financial reports filed electronically.” The target is 100%. D.C. Official Code § 1-1163.04 (1A) requires the submission of all financial reports online at the OCF Website, unless an exception to this requirement is granted. The OCF collects data from which to monitor the performance of this measure from the OCF Database which receives and stores the online submission of financial reports on the required due dates. The OCF generates from the Database a list of the required filers for the various report dates

based on the number of active committees registered with the Agency, a list of the actual filers, a list of the reports received electronically, a list of the paper submissions of those registrants granted an exception from the mandatory requirement, and the list of those registrants who failed to file. The total number of required filers from each filing due date, the total number of actual filers, the number of electronic submissions, and the number of failures to file, or requests for extensions are reported in the monthly activity report of the Public Information Division and included in the monthly production report of the Agency provided to the Board of Elections and published at the OCF and BOE Websites. The performance data is validated through the comparison of the list of the online submissions generated by the OCF Database with the list of the actual filers and the paper submissions.

(5) Create and maintain a highly efficient, transparent and responsive District Government.
(1 Key Performance Indicator and One Workload Measure)

- a. Percent of Investigative matters closed within ninety (90) days of opening. The target is 100%. The objective of the Office of the General Counsel is to investigate and resolve complaints within ninety (90) days of receipt, unless the time is extended by the Board of Elections for good cause shown. The corresponding Workload Measure is the “Total number of Investigations completed within 90 days”. The OGC records and monitors the number of complaints received and accepted, and as well as those initiated by the Agency, the date of completion of the investigation, and the date of the entry of the Order of the Director resolving the matter. This information is collected from the monthly activity reports of the Office of the General Counsel, which include the number of complaints received and the status of all investigative matters for the period covered, including whether the investigation is pending or completed, and the date of the issuance of the Order of the Director. At the acceptance of a complaint, the case is assigned a docket number, which notes the calendar year of receipt and the sequential order in which the complaint was accepted. The Orders of the Director are dated and published at the OCF Website, and the status of all

investigations is reported in the OCF monthly statistics provided to the Board of Elections and published at the OCF and BOE Websites. The OCF determines whether the target of completion within ninety (90) days was achieved from comparing the date of actual receipt against the date the investigation was completed, using the afore-mentioned sources.

During Fiscal Year 2019, the Agency introduced two (2) new Key Performance Indicators pertaining to the responsibilities of the Agency to administer the Fair Elections Program, under the Objective Number 3, “Provide fair, effective, and efficient audit programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act”, namely: the “Percent of Base Amount Payments distributed within five (5) business days of the certification of a candidate into the Fair Elections Program”; and the “Percent of candidates determined to meet requirements for certification by OCF within five (5) days of filing the affidavit declaring compliance with the Fair Elections Program”.

For Fiscal Year 2020, consistent with recent amendments to the Fair Elections Act, the Agency added a new Objective Number 6, “Provide a fair, effective, and efficient public financing program for candidates who qualify to participate in the program and agree to abide by its requirements”. The three (3) 2020 Key Performance Indicators for the Objective are: “Percent of Base Amount and Matching Payments authorized for disbursement within five (5) days of the certification of a candidate into the Fair Elections Program” (will compare the date of certification with the date of authorization for disbursement directed to the Office of Finance and Resource Management (OFRM) to determine if timeframe met); Percent of candidates determined to meet requirements for certification by OCF within ten (10) business days of filing the affidavit declaring compliance with the Fair Elections Program” (will compare date of filing of the affidavit of the candidate and the treasurer with the date of certification to determine if timeframe met); and “Percent of matching payments directed for disbursement to participating candidates within five (5) days after the receipt of financial reports”(will compare date financial report filed and date disbursement authorization directed to OFRM). The two (2) 2020 Workload Measures associated with this Objective are: “Total number of candidates certified as

participating candidates in the Fair Elections Program”; and “Total number of pre-election and post-election audits completed by the Fair Elections Program.”

42. Please identify whether, and if so, in what way, the agency engaged The Lab @ DC in FY19 or FY20, to date.

RESPONSE:

The Agency did not utilize the services of the Lab@ DC during FY19 but will explore how the Lab may assist the Office of Campaign Finance in the performance of its responsibilities during Fiscal Year 2020.

43. Please list the task forces and organizations of which the agency is a member.

RESPONSE:

The Office of Campaign Finance is a Member of the Council on Government Ethics Laws (COGEL). COGEL is an organization of government ethics administrators who work in the fields of governmental ethics, freedom of information, elections, lobbying, and campaign finance. COGEL affords the opportunity to network with colleagues in these fields.

44. Please explain the impact on your agency of any legislation passed at the federal level during FY19 and FY20, to date, which significantly affected agency operations.

RESPONSE:

The Office of Campaign Finance is unaware of any legislation passed at the federal level during FY19 and FY20, to date, which would impact upon this Agency.

45. Please describe any steps the agency took in FY19 and FY20, to date, to improve the transparency of agency operations, including any website upgrades or major revisions.

RESPONSE:

During FY 19 and FY20, to date, the Office of Campaign Finance undertook several major projects to ensure the transparency of the agency operations pertaining to its responsibility to administer the Fair Elections Program and manage the Elections Fund. From an operational

standpoint, the Office of Campaign Finance developed and finalized, effective March 2019, Standard Operating Procedures (SOPs) and an Audit Program for the Fair Elections Division. The SOPs detail the internal operations of the Division, including, the mechanics of the verification process for Qualified Small Dollar Contributions; the calculation of caps for matching payments and the amounts for matching payments authorized from the Elections Fund; the public training and outreach component; the process for notification to candidates of actions taken by the Agency affecting their campaigns; the pre-notification and failure to file programs; and the collection and format of data for public disclosure. The Audit Program is unique to the requirements of the Fair Elections Program and provides for the verification, and full audit of the financial reports filed under the Program. During Fiscal Year 2019, the Fair Elections Program Division verified, and desk reviewed twelve (12) financial reports filed by candidates in the Fair Elections Program, commencing with the first reporting deadline for the Program, July 31, 2019. The development of the Audit Program ensures the full disclosure of accurate and complete data and provides supporting justification for the direction of base amount and matching payments to candidates certified as participating candidates in the Program.

The Agency has established Rules and Regulations to fully implement the Fair Elections Act of 2018. The Regulations inform the public of the procedures established by the Agency which will govern the Fair Elections Program. On January 4, 2019, the Board of Elections published a Notice of Proposed Rulemaking in the District of Columbia Register (Volume 66/1) of its intent to take final rulemaking action to adopt Chapter 42, “The Fair Elections Program”, and Chapter 43, “The Verification Process”, amendments to Title 3 (Elections and Ethics”) of the District of Columbia Municipal Regulations, in not less than thirty (30) days from the date of the publication. The purpose of the Regulations was to fully implement the provisions of the “Fair Elections Amendment Act of 2018”. Comments were received during the public comment period, and the Notice was revised to adopt amendments to Chapter 3, “Advisory Opinions of the Board”, Chapter 37, “Investigations and Hearings”, Chapter 42, “The Fair Elections Program”, and Chapter 43, “The Verification Process”, to incorporate the comments, and to realign the regulations with the Campaign Finance and Fair Elections Acts. (See Notice of Proposed Rulemaking published on March 22, 2019 in the D.C. Register, Volume 66/12). The Notice of

Final Rulemaking was adopted by the Board and published in the D.C. Register on May 31, 2019 (Volume 66/22).

On July 12, 2019, the Board of Elections published a Notice of Final Rulemaking in the D.C. Register (Volume 66/28) to further amend the Regulations governing the traditional campaign finance operations to incorporate the Fair Elections Act, including Chapter 30, “Campaign Finance Operations: Committees, Candidates, Constituent Service Programs, Statehood Funds; Chapter 34, “Campaign Finance Recordkeeping and Audits”; Chapter 37, “Investigations and Hearings”; and Chapter 99, “Definitions”. The Notice of Proposed Rulemaking was published in the D.C. Register on April 19, 2019 (Volume 66/16).

On October 11, 2019, the Board published a Notice of Final Rulemaking on October 11, 2019 in the D.C. Register (Volume 66/42) to amend Chapter 42, “The Fair Elections Program”, and Chapter 43, “The Verification Process” to place the regulations into conformity with the Campaign Finance Act of 2011, as amended by the Fair Elections Amendment Act of 2018, and the Fair Elections Emergency Amendment Act of 2019. The Notice of Proposed and Emergency Rulemaking was published in the D.C. Register on June 21, 2019 (Volume 66/25), and republished on August 16, 2019 (Volume 66/34), with revisions.

The Office of Campaign Finance expanded the OCF Educational Program to fully introduce the Fair Elections Program. The Agency created educational materials about the Fair Elections Program, which are available for review at the OCF Website, and for dissemination to the public onsite in the Office of Campaign Finance, and at community events. The materials include a pamphlet which explains the Fair Elections Program, how it works, who is eligible to participate and when, titled the “Public Financing Program – Thinking of Running For Office in the District of Columbia? You May Qualify for Public Funding”; PowerPoint presentations offering an analysis of the Fair Elections Amendment Act of 2018; and Brochures titled “The District of Columbia’s Fair Election Process” and “Fact Sheet for the Fair Elections Program During the 2020 Election Cycle”. The new FEP Brochure titled the “Public Financing Program – Thinking of Running For Office in the District of Columbia? You May Qualify for Public Funding” was forwarded to DCTV on May 10, 2019 for posting on DCTV’s Bulletin Board Monday through Friday (10:00 am – 11:00 am) and on Sunday (9:00 am – 11:00 am). The Bulletin Board

provides information on local programs and events. On May 10, 2019, the Agency confirmed a 30 second Public Service Announcement on the Fair Elections Program to WTOP FM Radio for dissemination for six (6) months to the public; and on June 26, 2019, a Public Service Announcement was recorded by the Fair Elections Program Manager and aired on the DC Cable Channel 16, beginning July 14, 2019, through January 5, 2020. The Agency has requested and received confirmation on January 24, 2020 of the continued airing of the PSA on WTOP; and requested the continued airing of the PSAs on DCTV and the OCF Brochure on the DCTV's Bulletin Board through the November 3, 2020 General Election.

The Office of Campaign Finance established the Advisory Neighborhood Commission (ANC) Educational Outreach Initiative to reach a wider audience for the dissemination of information about the new Fair Elections Program. The Office of Campaign Finance partnered with the Office of Advisory Neighborhood Commissions to request the inclusion of the OCF on the public meeting agendas of the 40 ANCs, which consist of the 296 Single Member Districts, located in Wards 1 through 8, to introduce the Fair Elections Program to the community. By email dated March 14, 2019, Gottlieb Simon, the Executive Director of the Office on Advisory Neighborhood Commissions, notified all ANC Chairpersons that the OCF would be in contact to tell them about the new Fair Elections Program. Thereafter the Agency requested by email directed to the ANC Chairpersons to be placed on the respective ANC meeting agendas to inform their constituents about the Public Financing Program. From April 2019 to September 2019, the Office of Campaign Finance successfully presented the highlights of the new Fair Elections Program at the public meetings of 19 ANCs throughout the District of Columbia. The ANC Educational Outreach Initiative is ongoing.

In addition, the OCF incorporated the Fair Elections Education Program into its existing Public Training seminars. Those seminars include the Mandatory Entrance Conferences, monthly webinars targeting candidates and treasurers titled Understanding the Rules of the Campaign Finance Game, and the public seminars offered monthly for candidates and committees, the Constituent Services and Statehood Fund Programs, the Legal Defense, Exploratory, Inaugural, and Transition Committees, and the public. All educational materials utilized in the seminars were updated to include the Fair Elections Program. The Agency has also utilized its social media outlets, Facebook and Twitter to inform the public about upcoming presentations in the

community or onsite trainings about the Fair Elections Public Financing Program. The 2019 Training Calendar was published at the OCF Website on December 14, 2018 and included Seminars specific to the Fair Elections Program.

The Agency continued to meet with both representatives of member organizations of the D.C. Fair Elections Commission and District residents who were strong advocates of the “Fair Elections Amendment Act of 2018,” and invited to participate in the Planning Committee organized by the OCF to develop policy recommendations to assist with the implementation of the Fair Elections Program. The meetings were held on February 28, 2019, March 14, 2019, April 25, 2019, August 29, 2019, and October 24, 2019, and the OCF Managers have met individually with Members of the Planning Commission. The OCF has scheduled meetings during FY20, commencing February 20, 2020, to discuss the development of the Debate Program, and future community educational outreach efforts.

The Planning Committee offers the opportunity for private citizens and community organizations to collaborate with the Office of Campaign Finance to plan a strong foundation for the Fair Elections Program in the areas of engagement of voters through community outreach, the use of technology to provide greater transparency and disclosure of campaign operations; the administration of the debate requirement; and creating candidate services to aid with compliance. The organization of the Planning Committee established a critical link with the community which provided invaluable assistance to the Office of Campaign Finance in determining how best to educate the public concerning the introduction of the public financing of campaign operations in the District of Columbia.

Of significance, the Agency during Fiscal Year 2019 completed and launched the first phase of the development of the E-Filing and Disclosure System for the Fair Elections Program (FEP) on July 26, 2019. (Requisition 116441 – FY 19 FEP E-Filing System: Purchase Order 608528 - \$160,533.57) The FEP E-Filing System enables the online submission of financial reports at the OCF Web Site by the candidates and committees who have registered in the Fair Elections Program, and the real time imaging of the financial reports for public view by the residents of the District of Columbia. The System allows candidates in the Fair Elections Program to upload supporting documentation (bank statements, deposit slips, loan documents, and contributor

receipts and certifications), with data entry/excel upload of contribution and expenditure information, with the Receipt/Contributor and Expenditure Schedules; and provides a registration module for FEP candidates. FEP Forms were made available at the OCF Website on March 18, 2019 for pre-population and download as follows: the Registration Form (OCF FEP Form 1); the Affidavit of Candidate and Treasurer Form (OCF FEP Form 2); and the Receipt and Affirmation Statement for Contributor Form (OCF FEP Form 3). The administrative modules of the FEP E-Filing System assist the OCF Staff with the verification of contributor information, and the pre-certification and post certification qualification of Qualified Small Dollar Contributions, and the calculation of matching payments to determine when eligibility for certification as a participating candidate is achieved or the matching cap is reached. In addition, the OCF Website has been enhanced to include a “slider” dedicated to the Fair Elections Program, with a link, which features information solely relative to the Program. The link will be routinely updated as more information becomes available.

The first candidate registered in the Fair Elections Program on April 7, 2019, and all candidates who registered in the Program thereafter were invited for a demonstration of the E-Filing System on July 25, 2019. All FEP participants successfully filed their financial reports and supporting documentation online at the OCF Website on July 31, 2019, the first filing deadline for the Program. The completion of the FEP E-Filing System was a major milestone in the implementation of the Fair Elections Program. During Fiscal Year 2019, the Office of Campaign Finance certified five (5) candidates into the Fair Elections Program and directed the disbursement of Base Amount and Matching Payments in the total sum of \$368,615.00; and during FY 2020, as of January 27, 2020, the OCF has certified four (4) additional candidates into the FEP Program. Overall, the Agency has directed the disbursement of Base Amount and Matching Payments in the total sum of \$734,886.75. There are currently 32 candidates registered in the FEP Program and 19 candidates registered in the Traditional Campaign Finance Program.

To facilitate the disbursement of Base Amount and Matching Payments from the Elections Fund to candidates certified in the Program, the Agency formalized in April 2019 with the Office of the Chief Financial Officer (the “CFO”) the process to ensure the timely payment of funds once the Agency certification is received, and for the subsequent payment of funds. Briefly, at registration, the candidate is required to complete and submit Form W-9, the Request for

Taxpayer Identification Number and Certification, and the ACH Enrollment Form, with banking information, to establish authorization for the electronic transfer of base amount and matching fund payments. The OCF forwards the Forms to the Office of Financial Resource Management for the creation of a payment record in the District's Financial System by OFRM and the CFO. The OCF has developed Orders of the Director for certification with payments authorized and post certification orders for payment, with Memoranda directed to OFRM requesting payment. The Orders of Certification and Post Certification recount that all threshold requirements have been met and include the justification for the payment and the amount based on the Qualified Small Dollar Contributions eligible for match, and the base amount required, if applicable. The OFRM has successfully processed the payment requests and the DC Treasurer has issued the payments within five (5) business days.

During Fiscal Year 2020, to date, the Office of Campaign Finance on November 4, 2019 initiated Requisition No. K140026 (\$133,764.00 approximate cost), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. This Phase will provide Reports, for public and administrative use, as more fully detailed in the OCF Response to Question No. 38. During the interim, the Office of Campaign Finance will publish at the OCF Website, commencing January 30, 2020, Lists, which will be updated monthly, of the candidates certified or seeking certification in the Fair Elections Program for each Election scheduled in Calendar Year 2020, with the amounts of matching and base amounts disbursed, in total and to each candidate, and the dates of registration and certification. A listing will also be provided of the candidates registered in the Traditional Campaign Finance Program.

The Office of Campaign Finance will also procure public service announcements and postcard mailers to increase the scope of its outreach to the public, and more effectively educate the residents of the District of Columbia about the Fair Elections Program and any scheduled debates; develop a Debate Program for the conduct of debates in city-wide elections where the elections are contested, involve more than one participating candidate in the Fair Elections Program, or any candidate who has qualified for ballot access, is not a participating candidate, and has consented to participate in a debate. The first potential debate will be for citywide candidates participating in the Fair Elections Program in the June 2, 2020 local Primary Election.

The debates will provide voters with the opportunity to hear directly from candidates on issues that are important to residents of the District of Columbia.

46. Please identify all electronic databases maintained by your Agency, including the following:

- a. A detailed description of the information tracked within each system;**
- b. The age of the system and any discussion of substantial upgrades that have been made or are planned to the system; and**
- c. Whether the public can be granted access to all or part of each system.**

RESPONSE:

- a. A detailed description of the information tracked within each system; also included is the availability of the information to the public in response to Question 46, part c.

The traditional e-Filing System

This e-Filing system is used by the filer types listed below:

- Political Campaign Committee
- Political Action Committee
- Citizen Service Program
- Exploratory Committees
- Legal Defense Committees
- Transition Committees
- Inaugural Committees
- Senators and Representatives
- Advisory Neighborhood Commission
- Independent Expenditure Committee
- Lobbyists (Discontinued since 2012)
- Financial Disclosure Statement (Discontinued since 2012)

i) The agency tracks the following information listed below for all filer types:

- a. Registration statements
- b. Reports of receipts and expenditures
- c. Financial statements
- d. Reporting deadline compliance; and
- e. Hard copy filings for all filer types

Using the e-Filing System, the Agency also tracks Campaign Finance Enforcements in the form of Informal Hearings, Complaints, Interpretative Opinions, and Audit Reports for all the filer types listed above.

ii) The agency also maintains and tracks the following electronic information through search features which are accessible by the Public:

1. Contributions and Expenditures of political committees and constituent service programs by amount, contributor, recipient, date, location, payer, and payee
2. Electronic disclosure of Registrant Statements of political Committees and Constituent-Service Programs
3. Affiliated Entity Search
4. Active Committees Search
5. Active Candidates Search
6. Quick Statistics
 - a. Total Contributions by Denomination
 - b. Total Contributions by Contributor Type
 - c. Top 10 Committees by Total Contributions
 - d. Top 10 Committees by Total Loans
 - e. Recently Formed Committees
7. Digital Images of the Financial Reports filed with OCF, both electronically, and by paper-based filings, beginning 2005, by
 - a. Candidates and Political Committees
 - b. Political Action Committees (Includes Initiative, Referendum and Recall)
 - c. Exploratory Committees
 - d. Legal Defense Committees
 - e. Transition Committees
 - f. Inaugural Committees
 - g. Lobbying Program - until 2012
 - h. Citizen-Service Program
 - i. Senator/Representative Statehood Funds
 - j. Filers of the Financial Disclosure Statement – until 2012
 - k. Advisory Neighborhood Commission Candidates
 - l. Independent Expenditure Committees

iii) The Agency also maintains the following information on its Website, which is available to the Public:

1. Administrative Dismissal and Vacated Orders of
 - a. Candidates and Political Committees
 - b. Lobbying Program
 - c. Citizen-Service Program
 - d. Financial Disclosure Program
2. Complaints & Final Decisions (Includes a Search Feature by Topic)
3. Final Audit Reports
4. Informal Hearings on Delinquent Filers including:
 - a. Candidates and Political Committees

- b. Lobbying Program through 2011
- c. Citizen-Services Program
- d. Financial Disclosure Program through 2011
- 5. Interpretative Opinions
- 6. Biennial Reports
- 7. Calendar of Events
- 8. OCF Regulations and Campaign Finance Guide
- 9. Summary Reports of Contributor and Expenditure Information with Graphs
- 10. Educational Brochures and Online Tutorials

Fair Elections Program e-Filing System (New in Fiscal Year 2019)

This e-filing System is used by Committees participating in the DC Fair Elections Program

The agency tracks the following

- i. Registration statements – Registration Information is available to the public
- ii. Reports of receipts and expenditures – Real Time Images of the Reports are available to the public
- iii. Approved Public Funds for each committee
- iv. Validation of each contribution eligible to receive matching funds

b. The age of the system and any discussion of substantial upgrades that have been made or are planned to the system.

- 1. The Electronic Filing System (EFS) is about 16 years old. This was implemented and commissioned in August 2002.
- 2. The scanning system was integrated into the EFS in November 2003.
- 3. Biennial Reporting module was integrated into the system in 2007.
- 4. The Electronic Signature modules integration that enables filers to file their online report without the need for a hard copy filing requirement was implemented in FY 10.
- 5. The Database download that will enable the public to download the reports of receipts and expenditures for political committees, citizen-service and statehood fund programs, and lobbyists in CSV and XML formats was implemented and integrated into the EFS module in 2010.
- 6. Implemented Cross-Browser Compatibility in 2010, so that the Electronic Filing Application will be compatible for all browsers, including IE6.0 and above, Firefox, Safari and Chrome.

7. Additional Filer types (Exploratory, Transition Committees, Legal Defense Committees, and Inaugural Committees and Independent expenditure committees) have been added to the OCF e-Filing System – July 2013.
8. Reports and Summaries for Citizen-Service Program were implemented - August 2014.
9. Reports and Summaries for Senators and Representatives – August 2014.
10. The OCF e-Filing System was re-written using ASP.NET 4.5 to offer better security, better performance and usability. The e-Filing System was originally created using Classic ASP in 2002. - February 2015
11. Enabled online Registration for all filer types.
12. Enabled Approval of Online Registration by OCF Staff.
13. Added Biennial Reports for Exploratory, Transition, Inaugural, and Legal Defense Committees - January 2015.
14. Registrant Disclosure Search - This module provides detailed information on filers' registration statements and their filings, audit reports, and hearing orders. February 2015.
15. The Contribution and Expenditure search feature was upgraded to include multiple search parameters including Recipient, Report, Amount, Receipt Date, Contributor, Contributor Location, and Contributor Type - February 2015.
16. Reports and Summaries Upgrade: All the reports under this section will automatically generate along with the report submissions - February 2015.
17. Ability for Political Campaign Committees to file Consolidated Reports Online - February 2015.
18. Enabled reporting contributions from affiliated entities and contribution limit validation for the same.
19. Bulk Download: OCF has redesigned the Contributions and Expenditures search to include additional filters below:
 - Report Name
 - Contributor Location
 - Contribution type

This module allows the user to export the search results to Excel, CSV, or XML file. Users can also search within the results. - February 2015.

20. Enabled Excel upload of contributions and expenditures for PCC, PAC, and CSP.
21. Capability added to the E-Filing System to allow the filing of consolidated reports for selected filers at the approval of the Audit Division.
22. “Schedule A4 – Transfers from Authorized Committees” implemented for the filer types below – Moved to Production January 29, 2016
 - i. Political Action Committee
 - ii. Initiative
 - iii. Referendum
 - iv. Recall
 - v. Transition Committee
 - vi. Inaugural Committee
 - vii. Exploratory Committee
 - viii. Independent Expenditure Committees
23. Biennial Report Enhancement – Moved to Production January 31, 2019. The Biennial Report now includes a chart for top three committees by Contributions.
24. Enhanced “Flagged Contributions” module. Previously this module identified all the contributions that contributed more than allowed limits by filer name. This has been enhanced to match contributors by similar sounding names as well as by contributor’s address.
25. Implemented address validation to force the filers to enter proper address as present in the USPS address database.

Last, the Audit and Legal Divisions maintain internal databases to track production and activity. The Audit Branch maintains a database of all Requests for Additional Information sent, and a system to note all responses received; a database for all audits conducted along with the audit fieldwork; a Business Entity database; and Flagged Contribution reviews. The Office of the General Counsel maintains a post hearing, post order schedule in its database which reflects the due dates for the following legal procedures: Motions for Reconsideration; Petitions for review by the Board of Elections; and Petitions for enforcement of a judgment in the District of Columbia Superior Court.

It should be noted that during FY 19, the Office of Campaign Finance requisitioned the procurement of the first phase of the design and development of an E-filing and Disclosure

System capable of receiving financial reports online under the Fair Elections Program. The Agency completed and launched the first phase of the development of the E-Filing and Disclosure System for the Fair Elections Program (FEP) on July 26, 2019. (Requisition 116441 – FY19 FEP E-Filing System: Purchase Order 608528 - \$160,533.57) The FEP E-Filing System enables the online submission of financial reports at the OCF Web Site by the candidates and committees who have registered in the Fair Elections Program, and the real time imaging of the financial reports for public view by the residents of the District of Columbia. The System allows candidates in the Fair Elections Program to upload supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications), with data entry/excel upload of contribution and expenditure information, with the Receipt/Contributor and Expenditure Schedules; and provides a registration module for FEP candidates. FEP Forms were made available at the OCF Website on March 18, 2019 for pre-population and download as follows: the Registration Form (OCF FEP Form 1); the Affidavit of Candidate and Treasurer Form (OCF FEP Form 2); and the Receipt and Affirmation Statement for Contributor Form (OCF FEP Form 3). The administrative modules of the FEP E-Filing System assist the OCF Staff with the verification of contributor information, and the pre-certification and post certification qualification of Qualified Small Dollar Contributions, and the calculation of matching payments to determine when eligibility for certification as a participating candidate is achieved or the matching cap is reached.

During FY 20, to date, the Office of Campaign Finance on November 4, 2019 initiated Requisition No. RK140026 (\$133,764.00 approximate cost), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program to provide Reports, for public and administrative use, including the following:

(a) The Nine (9) month Public Report following the election cycle detailing the election activity, as specified in D.C. Official Code Section 1-1163.32j;

(b) Summary Contribution and Expenditure Reports – Public

The Reports will provide the public with the capability to search committee reports by filer type, filing year and report name, and sort, for each report, contributions by denomination, donor type as well as expenditures by purpose. The summary reports will be presented in PIE charts. Additionally, the reports will display each

contributor's name, the amount contributed, and the date of contribution; and identify expenditures similarly with expenditure purpose, to whom the expenditure was made, and the date of the expenditure.

(c) Failure to File Reports – Administrative

The System will provide an administrative search feature from which to obtain a listing of filers (by filer type) who have not filed a specific report. The report will list the name of the filer and filer ID#; and will have the capability to be exported into PDF, Excel.

(d) Filer Reports – Administrative

Duplicate features as the Failure to File reports with the addition of information as to the date the report was filed and the certification of report status.

(e) Workflow Chain - Administrative

Allow for a chain of OCF approval flow for reports filed (initial review, verification of initial review and managerial approval); with the ability to print all filed reports of receipts & expenditures, and attachments, if any, included with the reports.

(f) Statistics: Candidate and Committee Quick Stats – Public

Provide the capability for the public to obtain statistical information for candidate committees based on contribution type, denomination of contribution; will list the top ten (10) committees based on total contributions and total loans; and all features will be searchable by filing year and/or date range.

(g) Public Funds Payout Reports – Public

Feature will present the amount of public funds FEP candidates have received (Base Amounts and Matching Payments), in total for all committees combined as well as separately for each committee; and for each committee, will identify the amount of public funds disbursed for each reporting period in total and per filer.

(h) Certification or revocation dates of candidates under the Fair Elections Program – Public

Public feature to show when each Fair Elections candidate was certified into the program or revoked.

(i) Contributions and Expenditures Search Feature with data download - Public

This information will be based on the reports of receipts & expenditures filed into the e-filing system for Fair Elections candidate committees. It will list all contributions and expenditures reported by the committees. The feature will allow for contribution and expenditure data to be searched. For contributions, data will be able to be searched by one or more of the following, recipient; report name (including filing year); amount (with value range); date (with date range); contributor name; contributor address (by city, state, zip code) and contribution type (cash, check, credit card, etc.) Search features for expenditures will include capability to search by one or more of the following, payor; report name; amount (with value range); date (date

range); payee name (individual, business); payee location (by city, state, zip); and expenditure type (based on Schedule B of the R&E Report). Information will initially be presented on the website in a column format representing the search features. The results of the search will be capable of being exported into Excel or CSV format and include a more detailed listing (or column for) every data entry field required when entering a contribution or expenditure.

(j) Complaints and Final Orders/Informal Hearing Orders/Final Audits - Public

Provide the public the capability to search committees of all filer types for orders and audits issued to the committees. The listing will be searchable by type of order or audit. This search feature will also be specific to the committee the order/audit was issued to as a part of the committee's history.

(k) Contributions by Geography – Administrative/Public

Capability to search contributions received by a candidate's committee based on the D.C. Zip Codes of the contributor

(l) Excel Upload – Administrative/Filer

Ability for filer to upload excel spreadsheet of their contributions and expenditures. Excel spreadsheet is formatted by the vendor and is specific to the filer; report and must have a column for each required entry field for a contribution or expenditure.

(m) Flagged Contributions Reports – Administrative

Capability for OCF to run reports for all filer types identifying committees that have received excessive contributions (in the aggregate). Searches available will include researching excessive contributions by filer type, filing year and report name. Excessive contributions will be able to be grouped by contributor name; similar sounding names; similar spelling names and contributor address.

(n) Letters & Mailing Labels – Administrative

Capability to create reminder letters and non-compliance letters and the applicable mailing labels for said letters for mass mailings. The letters/labels will be for all filer types. The letters will should also be formatted to be emailed to the candidate/treasurer of each committee and text notification.

(o) Registration Reports – Administrative

Capability to run reports listing committees that have registered with OCF under the Fair Elections Program. The reports will be grouped by filer type; election year; and registration documents filed.

(p) Registration Disclosure Search – Public

Provide a list of Fair Election Committees for the public to review. For each committee information will be provided regarding the registration date of the committee; Registration information (i.e., listing of chairperson & treasurer); the reports the committee has filed; and any audits or orders issued to the committee.

- (q) Manage Reporting Periods – Administrative
Capability to create and manage all reporting periods for reports to be filed by Fair Elections candidates. Capable to set what reports apply and the coverage dates for each report.
- (r) Excel Import Reports – Administrative
Capability to identify which committees are filing their report of receipts & expenditures via the excel upload feature. It will provide information as to which template (report schedule) is imported; import date and time; total number of records entered; number of records entered; number of records imported; number of invalid records and valid but not imported records.
- (s) Entrance Conference Attendance Reports – Administrative
Within the registration module for the committee, provide a checkoff to identify that a candidate has or has not attended a required entrance conference conducted by this Office. From this, an attendance and non-attendance list can be generated.
- (t) Manage Office (i.e., mayor, council, etc.) – Administrative
Capability to manage the various elected offices under the Fair Elections Program. To assign the applicable election year(s) for an office and set the applicable contribution limits.
- (u) Manage Election (i.e., general, primary, special) – Administrative
Capability to set and edit election dates for applicable elected office as mandated by law.
- (v) Online Registration - Filer
Ability for filer to register committee online and amend registration based upon OCF approval. Completed registration statement will be automatically emailed to filer for signature along with a link for filer to create login information.
- (w) Multiple login – Filer
Ability for filer (i.e., candidate) to provide access for different users to data enter information for reports by creating and managing specific login information for the user. OCF would be provided with a list of those users.
- (x) Create reporting coverage dates for specific committees – Administrative
Capability to control the floating or optional filing dates for a committee so that it pairs up correctly with its required filing dates.

47. Please provide a detailed description about any new technology acquired in FY19 and FY20, to date, including the cost, where it is used, and what it does. Please explain if there have been any issues with implementation.

RESPONSE:

During FY19, the Office of Campaign Finance requisitioned the procurement of the first phase of the design and development of an E-filing and Disclosure System capable of receiving financial reports online to report contributions and expenditures under the Fair Elections Program. The Agency completed and launched the first phase of the development of the E-Filing and Disclosure System for the Fair Elections Program (FEP) on July 26, 2019. (Requisition 116441 – FY 19 FEP E-Filing System: Purchase Order 608528 - \$160,533.57) The FEP E-Filing System enables the online submission of financial reports at the OCF Web Site by the candidates and committees who have registered in the Fair Elections Program, and the real time imaging of the financial reports for public view by the residents of the District of Columbia. The System allows candidates in the Fair Elections Program to upload supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications), with data entry/excel upload of contribution and expenditure information, with the Receipt/Contributor and Expenditure Schedules; and provides a registration module for FEP candidates. FEP Forms were made available at the OCF Website on March 18, 2019 for pre-population and download as follows: the Registration Form (OCF FEP Form 1); the Affidavit of Candidate and Treasurer Form (OCF FEP Form 2); and the Receipt and Affirmation Statement for Contributor Form (OCF FEP Form 3). The administrative modules of the FEP E-Filing System assist the OCF Staff with the verification of contributor information, and the pre-certification and post certification qualification of Qualified Small Dollar Contributions, and the calculation of matching payments to determine when eligibility for certification as a participating candidate is achieved or the matching cap is reached. More specifically, the System features the following modules:

Filer Modules

- Reporting of Contributions
- Dashboard

Admin Modules

- Manage Committees
- View/Search Filer Reports
- Contribution Verification

Cost Details

Task	Cost
FY2019 Maintenance and Technical support	\$55,312.64
Development and Design of First Phase of FEP E-Filing System	\$160,533.57
FY2020 Maintenance and Technical support	\$69,536.16
FY2020 Second Phase of the Development of the FEP E-Filing System (Requisition Pending)	\$133,764.09

AGENCY OPERATIONS

48. Please describe how OCF uses social media to engage the public and disseminate information.

RESPONSE:

The Office of Campaign Finance maximizes its Social Media Platforms to engage, inform, and disseminate information to the public. The Agency utilizes the OCF Facebook Page to increase its transparency and extend its outreach to the public. The goal of the social media tool is to provide the public and targeted groups with pertinent information in a timely manner. The Facebook posts include information relative to onsite Mandatory Training requirements and scheduling for both the Traditional and Fair Elections Programs, the schedule for onsite training seminars, filing dates, the release of Orders, and Audits, the effective date of new legislation affecting the Campaign Finance Laws, the availability for public view online at the OCF Web Site of financial reports and summary contribution and expenditure information, and job opportunities at the OCF. Visitors to the Agency’s Website can click the Facebook Icon and access the Facebook Page.

The Office of Campaign Finance established the Agency Twitter Account on April 25, 2016. The Twitter Account is used to disseminate information and to present data as it occurs in real time, and to engage the public and targeted groups (candidates and treasurers) with pertinent content. Through Twitter, the OCF has increased its transparency, audience, and ability to share information concerning the business of the Agency. The public can respond to the tweets with questions, comments or concerns and receive feedback immediately. Twitter is a social media broadcast platform that provides interactive engagement and dialogue. The Agency is also able to track and address areas of concern that might be trending. Twitter, like the OCF Facebook Page is a free social media site. It is an important tool that has enhanced OCF's transparency and increased the agency's social media outreach avenues. When needed, a link to the OCF's Facebook Page or Website is provided for additional information. The link to OCF's Twitter Account may also be accessed by clicking the Twitter Icon at the Agency's Web Site.

During FY19, and FY20, to date, OCF posted 33 messages on its Facebook Page, and seven hundred and seventy-one people (771) were reached, with 124 engagements; and tweeted 23 messages on the Twitter Account, with a total of 1,167 following and 47new followers.

49. Who does OCF view as its stakeholders?

RESPONSE:

The Office of Campaign Finance views the residents of the District of Columbia who comprise the electorate as its primary stakeholder, and anyone else viably connected to the political process in the District of Columbia, the public, candidates, committees, office holders, treasurers of committees, and contributors. The Agency is committed to serve our stakeholders fairly and effectively because we believe the District of Columbia community deserves exemplary service from the agency which performs such a critical function in the electoral process.

a. How does OCF solicit feedback from its stakeholders to improve the website's functionality and its communications strategy?

RESPONSE:

The Office of Campaign Finance employs online surveys at the OCF Website to elicit feedback from the public on the services, features, and information it provides at the OCF Website. For

example, as the result of the responses from the 2009 Online Survey, it was recommended that the OCF Website be made compatible for all the industry standard browsers, and that the requirement for the submission of paper reports be eliminated where financial reports were electronically filed. Based on these recommendations, in FY 2011, cross browser compatibility was implemented to ensure the compatibility of the Electronic Filing System Application with all browsers, including IE6.O, and above, Firefox, Safari, and Chrome. Further OCF sought legislative authority for the electronic signature, and the electronic signature functionality was introduced in FY 2010. Respondents of the first OCF Customer Service Survey, disseminated in Calendar Year 2000, strongly encouraged the use of electronic filing. The Council heeded the concerns of the Agency that notwithstanding the upgrade of the computer system at that time, timely disclosure remained hampered by the submission of hard copy documentation. Legislation providing for the electronic filing of finance and disclosure reports was subsequently enacted.

The most recent online Survey of the Website services and features was open from August 2016 to January 2017 for users of the website to participate in the survey via a popup window. A total of 26 users responded. The purpose of the Survey was to assess the effectiveness and efficiency of the redesigned OCF E-Filing Applications and Web Site to deliver information and services. The original OCF Website and E-Filing System were designed in Fiscal Year 2002. As previously reported, the Office of Campaign Finance during Fiscal Years 2013 and 2014, worked closely with the Office of the Chief Technology Officer to redesign the OCF homepage layout and navigation scheme. The redesign required the migration of the OCF database content and EFs applications to the new DC. Gov Drupal content management system. On April 15, 2015, the new OCF Website launched. The conversion of the website to the new easier web platform has improved navigation and performance and provided a more citizen centric layout of information with a contemporary look and feel. The Website Usability Survey Report was submitted to the OCF on January 13, 2017, and the results evaluated, and recommendations forwarded for enhancements to the OCF on September 26, 2017. The OCF Management Team evaluated the recommendations and approved several for implementation.

The recommended enhancements undertaken in FY18 include a feedback form which enables filers to provide comments/feedback on their use of the OCF E-Filing System, with a rating option, and an administrative module which allows the Agency to view the feedback. Based on

the review of the feedback forms, most of the visits to the Website were for the purpose of e-filing financial reports (99%). Though the ease with which information may be found on the Website can be improved, the quality of the available information is the most liked aspect of the Website with 82% of the visitors responding favorably. Many of the suggestions for improvements or enhancements have been implemented, although a few merits further consideration.

To evaluate the effectiveness of the onsite educational seminars and entrance conferences, the OCF circulates surveys to solicit feedback from participants at the conclusion of each session to determine whether the presentations achieved acceptable satisfaction ratings. Participants are invited to evaluate the thoroughness, timeliness and overall quality of the content of materials used, as well as the proficiency of agency facilitator(s), and the conduciveness to learning of agency facilities; and to suggest other subject areas for seminar coverage, or to make any other suggestion deemed to promote the efficiency or effectiveness of the OCF operations. Each evaluation form is reviewed by the training facilitator to ensure that suggestions requiring agency or programmatic consideration are transmitted for review.

The Agency has learned that citizens/constituents are actively engaged in the affairs of government, and that their knowledge, experiences and input should be considered when adopting practices and policies that affect them. In this regard, the Office of Campaign Finance continuously updates its website and seeks to improve its user-friendliness. The Agency systematically reviews the OCF regulations to develop proposed regulations to impact the practical administration and enforcement of issues facing candidates and political committees.

50. Please explain the methods by which OCF informs the public about the conduct, activities, and financial operations of candidates, political committees, constituent service and statehood fund programs?

RESPONSE:

The Office of Campaign Finance fully utilizes the Agency Website, the Facebook Page, the Twitter Account, the Email Subscription Service, the Biennial Reports, and the Monthly Production Statistics, to inform the public about the conduct, activities, and financial operations of the candidates, political committees, exploratory, transition, inaugural, and legal defense

committees, and the Constituent Service and Statehood Fund Programs. All financial reports, including those of candidates in the Fair Elections Program, are immediately posted at the OCF website and are available real time upon submission. All Audit Reports, Investigative and Informal Hearing Orders are published at the OCF website upon issuance, and all Open Investigations and other OCF production statistics are published at the OCF Website, presented during the monthly meeting of the Board of Elections (BOE), and published at the BOE website.

As noted previously, during Fiscal Year 2020, the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program will be developed. This Phase will provide Reports, for public and administrative use, as more fully detailed in the OCF Response to Question No. 38. During the interim, the Office of Campaign Finance will publish at the OCF Website Charts and Lists, which will be updated monthly, of the candidates certified or seeking certification in the Fair Elections Program for each Election scheduled in Calendar Year 2020, with the amounts of matching and base amounts disbursed, in total and to each candidate, and the dates of registration and certification. A listing will also be provided for the candidates registered in the Traditional Campaign Finance Program.

The Agency's website provides monthly schedules of mandatory and voluntary training seminars held onsite and accessed monthly with the use of online webinars. OCF's Social Media platforms, Facebook Page and Twitter accounts allow information, content and data to be accessed in real time through posts and tweets. More specifically, the OCF Website offers the following features and services, which are designed to provide campaign finance data in user friendly and accessible formats:

(1) Data and Reports Link

- (a) Financial Reports – Real time images of the financial reports filed with the Agency, including the FEP financial reports, generated by the E-Filing Application or through the data entry of paper submissions are available, from 2006 through the current reporting period, for public inspection, and may be searched by Filer Type, Filing Year, and Report Name; and Reports and Summaries of Contribution Information by Denomination and Donor Type and Expenditure Information by Type, with visuals (pie charts) to denote percentages, are generated by the OCF Database when financial

reports are submitted, and made available for public inspection. The Reports and Summaries may be searched by Filer Type, Filing Year, and Report Name.

- (b) Contributions and Expenditures – This Search Feature provides access to all contributions and expenditures reported from 2003, through the current reporting period, and allows the public to use several different criteria to define the results required and search contribution data (i.e., the contributor’s name, recipient, report name, amount, date of contribution, contributor’s location, and contribution type), or expenditure data (i.e., the payor, the report name, the amount, the date, the payee, the payee location, and the expenditure type).

- (c) Registration Disclosures – This Search Feature allows the public to search the OCF Database to view the Electronic Disclosure of Registration Statements filed with the Agency by candidates/principal campaign committees (including FEP candidates/committees), political action committees, Constituent Service Programs, and others. To define the results required, the user may select Filer Type, Election Year, and Committee Name. For example, the Filer Type “candidate” search result will display for the Election Year selected, the names of all candidates who have registered to participate in that election cycle, their Party Affiliation and the Office for which election is sought. The user may then select a specific candidate, to view the candidate’s Statement of Registration, Committee Statement of Organization, Filing History (i.e., Report Name and coverage period) and Enforcement/Complaints. The “Enforcement/Complaints” history is in development and requires the connection of the Informal Hearing Orders and the Audit Reports modules with the respective candidate/committee. Once completed, the Enforcement/ Complaints records (Orders and Audit Reports) for the selected candidate/committee in the Agency will be listed with the Docket Number, the Order Type, the Issuance Date, and Comments.

- (d) Biennial Reports – This Search Feature allows the public to search and select for public inspection the Biennial Reports of the Agency, by date, from which to view the summary of the receipts and expenditures of candidates for public office and committees for the prior two-year period. The Biennial Reports provide a historical

- context of the money spent in DC Elections. For the coverage period selected, the contributions are sorted by denomination and donor type, and the expenditures by type, with graphs (pie charts) to visualize the percentages of the reported information.
- (e) Summary of Campaign Finance Reports – This Search Feature allows the public to select by calendar year and month, the Monthly Production Reports of the Office of Campaign Finance from which to view the activity of the Agency, including financial reports received in both the Fair Elections and Traditional Campaign Finance Programs, disbursements authorized from the Elections Fund, the names of candidates certified into the Fair Elections Program, the names of committees who failed to file, new candidate and committee registrations, mandatory training conferences conducted, desk reviews conducted, audit reports, interpretative opinions, and informal hearing orders issued, the list of ongoing audits and investigations, fines issued, and petitions for enforcement filed before the Board of Elections. The Monthly Production Report of the Agency is presented at the open meetings held by the Board of Elections.
 - (f) Affiliated Entity Search – This Search Feature allows the public to search contributions to identify contributions by a business entity, where the filer has listed all the affiliated entities of the business contributor which have also contributed to the filer. The business contributor and its affiliated entities share the contribution limits imposed by the Campaign Finance Act. The user must select the criteria that best defines the results required (i.e., the recipient, the report name, the amount, the date, the contributor, the contribution location, and the contribution type).
 - (g) Active Candidates List – This Search Feature provides the public with active lists based on the Election Year selected of Candidates with Committees and without Committees. The Active Candidates List displays for the Election Year selected the candidate name, committee name, election year, party, and office.
 - (h) Active Committees List - This Search Feature provides the public with active lists of committees for the Election Year and Filer Type selected (includes principal

campaign committees, political action committees, initiative, referendum, and recall committees, inaugural, legal defense, transition, exploratory and independent expenditure committees, and the Constituent Service and Statehood Fund Programs). The Active Committees List displays for the Filer Type and Election Year selected, the registration date of the committee, and the totals reported for contributions, expenditures, and loans.

- (i) Quick Stats – This Search Feature gives the public a quick view of various statistics maintained by the OCF specific to Principal Campaign Committees for the Filing Year selected, including the Total Contributions by Denomination, the Total Contributions by Contributor Type, the Top 10 Principal Campaign Committees by Total Contributions Received, the Top 10 Principal Campaign Committees by Total Loans Received, and a list of the Recently Formed Principal Campaign Committees with the organization date. Graphs are used to depict the percentage terms of the various statistics.

(2) Services Link

- (a) Contributions by Geography – This Service allows the public to search and view contributions by selection criteria for Election Year, Office, or Committee. The results provide the total contributions and of this amount, the contributions from the District of Columbia, for the office/ candidates/committee and election year selected, with a visual (pie chart) showing the percentage of contributions from the District of Columbia. A map is used to display the totals broken down by Zip Code within the District of Columbia.
- (b) Download Campaign Finance Filer Data – This Service allows the public to download data obtained from financial reports electronically filed or entered from paper submissions into the OCF Database. The information may be searched, sorted, viewed, and exported from the database into different formats, including PDF, Excel, CSV or XML. The user can organize and analyze the data in greater detail.

- (3) The Agency maintains the following enforcement information involving registrants under the Campaign Finance Act at its Website: Administrative Dismissal and Vacated Orders of Candidates and Political Committees; Complaints & Final Decisions (Includes a Search Feature by Topic); Final Audit Reports; and Informal Hearings on Delinquent Filers including Candidates and Political Committees.

The Office of Campaign Finance also uses the Website to disseminate News Releases, to announce upcoming filing deadlines for the submission of financial reports, and to publish the schedule of Educational Training, to which the public is invited. The Campaign Finance Guide and the Educational Brochures are also available for public view at the Website. The 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.

The Agency continues to use the OCF Facebook Page to further extend educational outreach to the public through the posting of upcoming training, filings, the release of orders and audits, and links to new features at the Website. Social website users are referred by the OCF Face Book Page to the Agency's Website for more detailed information where appropriate, and links are provided to aid in that process. An Icon is provided at the OCF Website to select and connect with the Page.

The Office of Campaign Finance established the Twitter Account on April 25, 2016. The Twitter Account is used to disseminate information and to present data as it occurs in real time, and to engage the public. Through Twitter, the OCF has increased its transparency, audience, and ability to share information concerning the business of the Agency. The public can respond to the tweets with questions, comments or concerns and have them addressed immediately. Twitter is a social media broadcast platform that provides interactive engagement and dialogue. The Agency is also able to track and address areas of concern that might be trending. Twitter, like the OCF Facebook Page is a free social media site. It is an important tool that has enhanced OCF's transparency and increased the agency's social media outreach avenues. When needed, a link to the OCF's Facebook Page or Website is provided for additional information.

The email subscription service invites members of the public to subscribe, indicating their preferences, to receive email updates on the issuance of final decisions in investigative cases, audit reports, and interpretative opinions. During FY 19, new members of the public elected to use the service as follows: Complaints and Final Decisions – 224; OCF News – 643; and Audit Analysis – 201. Overall, the subscriptions are as follows: Complaints and Final Decisions – 1,648; Filing Deadlines – 1; Final Audit Analysis – 1,491; Interpretive Opinions – 1,591; and OCF News – 2,264. As of this date, in FY 20, there are 342 new subscribers.

In addition, the Office of Campaign Finance reports monthly to the Board of Elections during its regularly scheduled meetings on the activity of the Agency for the previous thirty (30) day period. The Agency Report details the financial reports received, the failures to file, the new candidate and committee registrations, the certification of candidates into the Fair Elections Program, and the disbursement of public funds, the mandatory training conferences conducted, the number of desk reviews conducted, audit reports issued, the status of ongoing audits and investigations, the imposition of any fines, and the filing of any petitions for enforcement with the Board.

Last, the Agency informs the public about the financial operations of its registrants through the conduct of periodic and Full Field Audits, which culminates in the issuance and publication of the Audit Reports at the OCF Website for public view. During the election cycle, the Audit Division conducts periodic audits of the Reports of Receipts and Expenditures of the candidates and principal campaign committees registered for the upcoming election, and of political action committees active in an election cycle. The Division also conducts periodic random audits of constituent service programs for every other filing deadline and of continuing committees on every filing deadline. Full field audits are conducted on all newly elected officials and Inaugural Committees; and where warranted, in investigative matters. All Audit Reports are published at the OCF Website.

51. Please describe OCF's enforcement measures and actions taken in FY19 and FY20, to date.

a. What enforcement measures, if any, are currently pending?

RESPONSE:

In general, the Office of Campaign Finance employs the informal hearings process as the initial stage of enforcement of the campaign finance laws when there is non-compliance. If the matter is not resolved through the informal hearings process, pursuant to 3 DCMR § 3711.9, the OCF may file a Petition for Enforcement with the Board of Elections (BOE). If the matter remains unresolved after a Pre-Hearing Conference and a contested hearing before the Board, the General Counsel for the Board may seek a judgment against the respondent in the Superior Court for the District of Columbia which sustains the petition.

During FY19 and FY20, to date, the OCF informal hearing process has included the following:

▪ Total Referrals	181 (FY19) and 19 (FY20)
▪ Hearing Notices issued	264 (Includes 177 First Notices and 87 Second Notices)
▪ Hearings Conducted	115 FY2019; 1 FY 2020 To Date
▪ Orders issued	157 FY 2019; 6 FY 2020 To Date
▪ Investigations Completed	2
▪ Orders imposing fines	63 FY 2019; 2 in FY 2020 To Date
▪ Amount of fines imposed	\$95,550.00 FY2019; \$10,900.00 FY 2020 To Date
▪ Amount of fines collected	\$22,775.00 FY2019; \$7,900.00 FY 2020 To Date
▪ Fines vacated or reduced	\$14,750.00 FY 2019; FY2020 None To Date
▪ Outstanding fines	\$47,725.00 FY2019; None in FY2020 to date
▪ Petitions for Enforcement	25
▪ Interpretative Opinions	3

The OCF enforcement process commences when there is non-compliance by required filers to file financial reports or to provide timely responses to Requests for Additional Information. Following either the failure to timely file a required Report of Receipts and Expenditures with the Public Information and Records Management Division or the failure to provide a timely response to a Request for Additional Information to the Reports Analysis and Audit Division, the matter is referred to the Office of the General Counsel for an Informal Hearing. The Informal Hearings process may result in dismissal, imposition of fines or suspension of fines. If the respondent considers the decision by OCF adverse, he/she may file a petition for review within

15 days of receipt of an order with the Board of Elections (BOE). However, in matters in which fines have been imposed if the respondent fails to pay the fine or seek review by the BOE within the prescribed period, the OCF may file a Petition for Enforcement with the BOE. Following a referral to the BOE by a respondent or the OCF, the matter is scheduled for a pre-hearing conference to provide the parties with an opportunity for settlement. If the matter is not settled during the pre-hearing conference, a contested hearing before the BOE is scheduled. If the BOE affirms an OCF decision which includes a fine and the respondent fails to pay the fine or enter into a payment plan, the Office of the General Counsel for the BOE files a complaint seeking judgment against the respondent in the Superior Court of the District of Columbia.

During Fiscal Year 2019, twenty-five (25) Petitions for Enforcement against respondents who either failed to pay outstanding fines or requested a hearing de novo before the Board of Elections (BOE) by the due date with fines totaling \$38,400.00 were transmitted to the Office of the General Counsel for the Board of Elections on December 11, 2018 and May 21, 2019. These cases were scheduled for Pre-Hearing Conferences on April 25, 2019 and July 17, 2019. Of the 25 cases referred, 3 cases were settled for reduced fines, and 13 cases were certified by the BOE for submission to the District of Columbia Superior Court (the Superior Court) and pending adjudication by the Court. The nine (9) remaining cases were presented to the Board of Elections and are pending further action.

A balance of \$3,050.00 in fines is due in Fiscal Year 2020 through installment payment agreements, 15 fines were vacated or settled for reduced amounts by a total of \$14,750.00 in accordance with a settlement agreement.

During FY19, the Office of Campaign Finance completed the following investigations:

OCF FI 2018-001	Complaint: Respondent: Infraction: Status:	Craig Holman, Ph.D., October 24, 2018 Re-Elect Muriel Bowser PCC Campaign Contribution Violation Order Issued October 31, 2018 Dismissed
OCF FI 2018-002	Complaint: Respondent: Alleged Infraction: Status:	Emily Naden, December 4, 2018 Councilmember Brandon Todd Inappropriate use of government resources Order issued March 18, 2019, finding an inappropriate use of government resources, and

imposing a Fine of \$4,500.00 subject to a reduction of \$2,000.00 after the completion of Ethics Training with the Board of Ethics and Government Accountability (BEGA) within 90 days of the issuance of the Order.

During FY 20, to date, the following investigation was completed and one (1) was requested but not docketed because it replicates the matter recently adjudicated in OCF FI 2019-001:

OCF FI 2019-001	Complaint:	Commissioner Edward Hanlon
	Respondents:	Advisory Neighborhood Commission Members Daniel Warwick (SMD 2B02); Aaron Landry (SMD 2B04); Randy Downs (SMD 2B05); Mathew Sampson (SMD 2B01); Kari Cunningham (SMD 2B07)
	Infraction:	Inappropriate use of government resources
	Status:	Order issued on December 17, 2019, finding an inappropriate use of government resources, and imposing a Fine of \$4,000.00 subject to a reduction of \$3,000.00 after the completion of Ethics Training with the Board of Ethics and Government Accountability (BEGA) within 90 days of the issuance of the Order.

OCF FI 2020-001	Complaint:	Commissioner Edward Hanlon
	Respondents:	Jeffrey Rueckgauer and Advisory Neighborhood Commission Member Aaron Landry (SMD 2B04)
	Infraction:	Inappropriate use of government resources
	Status:	Pending

During FY 2019, the Office of the General Counsel received and processed at least eight (8) Requests for Advice via e-mail. The advice was provided within 72 hours as opposed to thirty-day period the office of Campaign Finance is accorded the by the Interpretive Opinion process.

Because of the demonstrated ability of the Agency to consistently monitor and enforce the reporting requirements, a high level of compliance with the reporting deadlines has been maintained in general for all programs administered. In most instances, irregularities were resolved before the next filing deadline in accordance with the OCF Standard Operating Procedures. During FY 2019, a 100 % filing rate was achieved in the Constituent Service and

Statehood Fund Programs; a 93% filing rate was achieved in campaign finance disclosure based on the actual filings by principal campaign committees, political committees, and political action committees; and a 98% filing rate by Candidates for Advisory Neighborhood Commission Members of the ANC Summary Financial Statement.

More specifically, 48 of the 48 required filers in the Constituent Service and Statehood Fund Programs filed the Report of Receipts and Expenditures (OCF Forms 10 and 28) for their respective Programs; 660 of the required 709 principal campaign committees and political action committees filed the Report of Receipts and Expenditures (OCF Form 16); and 391 of the 401 required filers of the ANC Summary Financial Statement filed their financial report (OCF Form 18).

There were 1158 required filers in all the Campaign Finance Programs: 1012 timely filers; 87 late filers; and approximately 29 filers who remain delinquent. The total number of actual filers represents 95% (96% in FY18) of the total required filers who complied with the reporting requirements during Fiscal Year 2019.

52. Please describe the agency's auditing process for receipts of contributions and expenditures.

RESPONSE:

The Reports Analysis and Audit Division (RAAD) is responsible for performing audit analysis and reviews of all financial reports and other documents received in the Traditional Campaign Finance Program. The Division conducts field audits and investigations based upon deficiencies and conditions noted during Desk Audit Reviews. The Division conducts periodic random field audits of the financial reports submitted in each of the OCF Programs and compiles statistical reports and summaries on all reports of receipts and expenditures submitted by candidates, committees, and the Constituent Service and Statehood Fund Programs. This program area is the primary generator of compliance actions through audits and the monitoring of the financial disclosure of the Constituent Service and Statehood Fund Programs, candidates, political committees, political action committees, and independent expenditure committees, and all others required to file with the Agency. Section 3404, "Desk Reviews and Audits", Chapter 30 of Title

3, "Elections and Ethics," of the District of Columbia Municipal Regulations, sets forth in detail the procedures which govern the conduct and timeframes of Desk Reviews, Full Field Audits, and Periodic Random Audits.

The Office of Campaign Finance determines the validity and/or absence of information contained in financial reports through the conduct of desk reviews, full field audits, and random periodic audits. The initiation of these processes allows the Audit Division to require the submission of the documentation, including bank account information, statements, cancelled checks, and loan documents, underlying the financial transactions and activity reported on the reports where reported information is incomplete, omitted, or otherwise requires further explanation.

Through the review of the submitted documentation, the Audit Branch can research and verify the accuracy of the financial transactions and activity stated on the financial reports against the records of the reporting entity and identify transactions which were not reported. For example, the research of bank statements and contributor source documents (contributor checks, contributor cards, in-kind contribution information, and credit card contribution records) may reveal deposits which were not reported as receipts on Schedule A of the Reports of Receipts and Expenditures. This non-disclosure would require the subsequent amendment of the financial reports to report the receipts and correctly state the cash on hand balances. Expenditures are traced to source documents including billing statements, invoices, memorandums, and cancelled checks. The research of bank statements and the expenditure source documents may also substantiate expenditures which were not previously reported, and for which an amended accounting will also be required. The examination of actual source documents allows verification of the purpose for which funds were expended, the exact amount expended, and the appropriateness of the expenditure for the scope of the reporting entity.

To commence the audit process, the Office of Campaign Finance notifies the treasurer of a committee in writing of the selection of a committee for audit and requests the delivery of all underlying documentation of the audit coverage period within fifteen (15) calendar days for a periodic random audit, or within thirty (30) calendar days for full field audits. Upon the receipt of all financial records, the audit field work commences, and includes the review of all financial

reports for completeness and mathematical accuracy, and the reconciliation of bank account records to the reports filed. Once the field work is completed, a Preliminary Draft audit report is issued with the initial findings and recommendations of RAAD. The Preliminary Draft audit report requires the submission of a written response, amended reports, and/or additional documentation within thirty (30) calendar days of less after receipt. The Audit Report will not be released and made available to the public until the response and accompanying documents are received and reviewed for compliance with all outstanding issues. It should be noted that the response may generate further inquiry by RAAD.

For your information, during Fiscal Year 2019, the Office of Campaign Finance conducted 1274 (includes Amended Reports) Desk Reviews of all Reports of Receipts and Expenditures filed with the Agency by candidates, committees, and the Constituent Service and Statehood Fund Programs, and the ANC Summary Financial Statement. All Desk Reviews were completed before the next reporting period of the respective entity.

The Desk Reviews resulted in the issuance of 290 Requests for Additional Information directed to reporting entities to advise of deficiencies, and to extend the opportunity for compliance with the requirements of the Campaign Finance Act. 265 reporting entities complied with the request of the Audit Division and submitted the necessary information. Five (5) responses are due in FY 2019. The Audit Division referred thirty (30) cases to the Office of the General Counsel for enforcement where there was a failure to respond to the request for additional information. RAAD assisted in the termination of fifty-three (53) committees, following the review and approval of their Final Report of Receipts and Expenditures; and completed and issued fifteen (15) Periodic Random Audits, and four (4) Full Field Audits.

In addition, the Audit Division initiated and completed full field audits of the campaign operations of four (4) newly elected Members of the State Board of Education, following the certification of the November 6, 2018 General Election Results by the Board of Elections, from the organization of the principal campaign committees for the candidates to the request for termination, and reviewed 304 ANC Summary Financial Statements (OCF Form 18) filed by candidates for the Office of Member of an Advisory Neighborhood Commission. The ANC Summary Financial Statement was due on January 15, 2019, sixty (60) days following the

Board's certification of the November 2018 Election Results. The full field audits of the newly elected Public Officials resulted in the issuance of three (3) compliance Audit Reports, and the issuance of a non-compliance Audit Report which has been referred to the Office of the General Counsel for review. The Agency also conducted full field audits of an Inaugural Committee organized following the 2018 General Election, which resulted in a Compliance Audit Report, and of the Principal Campaign Committee of a candidate active in the 2018 Election Cycle which resulted in a Non-Compliance Audit Report. The ANC Financial Statement must include the total receipts and expenditures relative to seeking election to the ANC Office; the cash on hand at the close of the reporting period; the total amount of debts and obligations owed to and owed by the ANC candidate; the method of disposal of surplus funds; certification that the ANC candidate did not receive contributions from any person excluding the candidate, in excess of twenty-five (\$25) dollars; or a certification that the ANC candidate did not receive contributions from any person or make expenditures, including from or by the candidate, to support the election to the ANC Office.

53. Please provide the Committee with the total amount of audits that OCF conducted in FY19 and FY20, to date. Additionally, please sort these audits by classes such as random, reported, requested, etc., and describe the results of the audits.

RESPONSE:

The Reports Analysis and Audit Division issued Audit Reports for fifteen (15) Periodic Audits and for four (4) Full Field Audit during Fiscal Year 2019, and during Fiscal Year 2020, to date, five (5) Periodic Audits and two (2) Full Field Audits. Except for the Audit Reports of the Kenyan McDuffie 2018, Sheika Reid 4 Ward 1, and the Committee to Elect Zachary Parker 2018, which were Non-Compliance Reports, all Audits conducted resulted in Compliance Audits. The Non-Compliance Audit Reports were referred to the Office of the General Counsel for enforcement, which resulted in the imposition of fines for violations of the Campaign Finance Act in two (2) matters. The third non-compliant Audit is under review. All Audit Reports are available at the OCF Website for review by the public. Further, the following Periodic Random Audits and Full Field Audits are ongoing:

ONGOING AUDITS FY 2020

DATE INITIATED

Full Field Audits

None

Periodic Random Audits

Re-Elect Brandon Todd 2020

September 4, 2019

AUDITS ISSUED FY 2020

Periodic Random Audits

Gertrude Stein PAC

October 24, 2019

DC Democratic State Committee

November 15, 2019

Ward 3 Constituent Service Fund

November 22, 2019

Evans Constituent Service Fund

November 22, 2019

Phil’s Fund Constituent Service Fund

December 13, 2019

Full Field Audits

Emily for Education

December 13, 2019

Committee to Elect Zachary Parker 2018

March 5, 2019

AUDITS ISSUED FY 2019

RANDOM AUDITS CONDUCTED

DATE AUDIT ISSUED

Political Action Committees

AFSCME PAC

March 21, 2019

ABC of Metro Washington DC PAC

April 2, 2019

Economic & Protection Party

April 29, 2019

Ward Seven Democrats

April 29, 2019

DC First PAC

August 4, 2019

DC Young Democrats PAC

August 15, 2019

Constituent Service Programs

Citizen’s Outreach Fund

November 7, 2018

Our Ward 5

December 5, 2018

Mayor Bowser’s CSF

February 4, 2019

Ward 7 Constituent Service Fund

May 15, 2019

Do Something CSF

May 15, 2019

Ward 4 Constituent Services Fund

June 4, 2019

Candidates in the 2018 Election Cycle

Elissa 2018	October 22, 2018
Kenyan McDuffie 2018	December 7, 2018
Anita Bonds 2018	February 28, 2019

Full Field Audits

Jessica Sutter for SBOE	April 19, 2019
Frazier O’Leary for Ward 4	June 7, 2019
Sheika Reid 4 Ward 1	July 12, 2019
DC Proud 2019 Inaugural Committee	August 30, 2019

54. How much did OCF impose in fines in FY19 and FY20, to date, and to which entities, and for what purpose? Of this amount, how much has been collected, from what sources, and how much is outstanding?

RESPONSE:

- Orders imposing fines 63 (49 PCC’s, 12 PAC’s and 2 Investigations)
FY 2019; 2 (PCC’s) FY 2020 To Date
- Amount of fines imposed \$95, 550.00 FY2019; \$10,900.00 FY 2020 To Date
- Amount of fines collected \$22,775.00 FY2019; \$7,900.00 FY 2020 To Date
- Fines vacated or reduced \$14,750.00 FY 2019; FY2020 None To Date
- Outstanding fines \$47,7250.00 FY2019; FY 2020 None To Date
- Petitions for Enforcement 25

The fines collected during FY19 were from the following sources:

- Two (2) Investigations;
- Two (2) Political Action Committees; and
- Three (3) Principal Campaign Committees

The fines collected during FY 20 to date were from the following sources:

Four (4) Principal Campaign Committees.

Of the 25 cases referred, 3 cases were settled for reduced fines, 13 cases were certified by the BOE for submission to the D.C. Superior Court, and the 9 remaining cases are pending before the Board.

A balance of \$3,050.00 in fines is due through the installment payment plan, and 15 fines were vacated or settled for reduced amounts by a total of \$14,750.00 in accordance with settlement agreements.

During FY 19 OCF collected \$22,775 in fines from the individual respondents' personal funds and during FY 20 to date OCF has collected \$7,900 in fines. A fine of \$7,150 was paid by the McDuffie 18 Principal Campaign Committee and the remaining \$750.00 was paid by the individual respondents.

a. How does OCF ensure that the imposition of fines deters unlawful conduct and is proportionate to the harm committed?

RESPONSE: The Office of Campaign Finance ensures that the imposition of fines deters unlawful conduct through the pursuit of unpaid fines before the Board of Elections (Petitions for the Enforcement of Orders of the Director imposing fines) in open and adversarial proceedings, and in the Superior Court of the District of Columbia. The levy of fines is publicized during the reporting of the activity of the Office of Campaign Finance at the monthly meetings of the Board of Elections, and the publication of the monthly activity report of the Agency and the Informal Hearing Orders at the OCF Website.

While OCF cannot assure that the imposition of fines will deter all unlawful conduct, the Agency uses its training seminars and mandatory entrance conferences to emphasize the importance of compliance with existing laws and regulations and the consequences of non-compliance. Specifically, we highlight the fact that fines have increased substantially and both candidates and treasurers may be personally liable for fines resulting from violations of the Campaign Finance Act. In addition, we stress the fact that all orders issued by OCF are published at our website and become a permanent part of the public record. Therefore, any fines or sanctions imposed by the OCF are exposed to both members of the public and the media immediately. Thus, a history of non-compliance irrespective of how limited or extensive can only expose one to unfavorable public scrutiny. The amount of the fines imposed is based upon the schedule of fines set forth in Chapter 37 of Title 3 of the District of Columbia Municipal Regulations which are reviewed and revised and updated periodically to assure that all provisions are applicable to current conditions.

55. Please describe all known enforcement by OCF of violations of D.C. Code § 1-1136.36, including the fact pattern and penalties imposed.

- 1. Advisory Neighborhood Commissioners Daniel Warwick (SMD2B02); Aaron Landry (SMD2B04); Randy Downs (SMD 2B05); Matthew Sampson (SMD 2B01); Mike Silverstein (SMD 2B06); and Karl Cunningham (SMD 2B07), Docket No: OCF 2019 -001**

Statement Summary: This matter came before the Office of Campaign Finance (OCF) Office of the General Counsel from a complaint filed on September 5, 2019 by Advisory Neighborhood Commissioner Edward Harlon. Mr. Harlon alleged that Commissioners Daniel Warwick (SMD 2B02); Aaron Landry (SMD 2B 04); Randy Downs (SMD 2B05); Matthew Sampson (SMD 2B 01); Mike Silverstein (SMD 2B 06); and Karl Cunningham (SMD 2B 07) (of Advisory Neighborhood Commission (ANC) 2B illegally used the government owned twitter account to promote the campaign of Patrick Kennedy for Councilmember from Ward 2. The specific act(s) at issue is the commissioners allowed a campaign photo of Mr. Kennedy to be inked and embedded in the ANC 2B's twitter page which has 1542 followers. The OCF advised the commissioners to cease and desist their conduct if the commissioners are using government resources to promote Mr. Kennedy's campaign.

Conclusion(s)/Outcome: The penalty for violating D.C. Official Code 1-1163.36(a) is a fine of Four Thousand Dollars (\$4,000). The Office of Campaign Finance found that the ANC 2b Commission Members were in violation of D.C. Official Code 1-1163.36(a), and 3 DCMR 3301. OCF found that the commissioners posted a link to Mr. Kennedy's campaign literature with photo and "Patrick Kennedy @. PLKDC Running for Ward 2 D.C. Council in 2020." In addition, OCF concluded that BEGA Advisory Opinion 1559-001 did not sanction the use of the governments twitter account for political campaigns.

OCF recommended a fine in the amount of Four Thousand Dollars (\$4,000) collectively. Three Thousand Dollars (\$3,000) will be suspended provided the Commissioners attend ethics training within sixty (60) days at BEGA. Leaving a fine of One Thousand Dollars collectively or One Hundred Sixty-Six Dollars and Sixty-Seven Cents (\$166.67) each against the named commissioners.

2. Brandon Todd, Docket No: OCF 2018-002

Statement Summary: A complaint was filed with the OCF by Emily Naden a resident living in Ward 4 on December 4, 2018. Ms. Naden stated that she received an email from Councilmember Todd's office in which he was soliciting donations for Ward 4 State Board of Education candidate Rhonda Henderson in the December 2018 Special Election. Ms. Naden acknowledged that she contacted the councilmember via email in the past, but that those prior contacts involved what she characterized as contacting him in his "official capacity." Ms. Naden alleged that Councilmember Todd used government resources to support a political campaign in violation of DC Code 1-1163.36. The allegation was supported by documentation that included the Councilmember's picture and his government email address conspicuously displayed on the solicitation materials. On or about December 12, 2018 OCF received a second correspondence from Advisory Neighborhood Commission (ANC) Chairperson Bennett Hilley. Mr. Hilley also alleged that Councilmember Todd's office has repeatedly used public resources to promote Ms. Henderson's candidacy. Councilmember Todd denied the allegations and asserted that the email addresses used came from his personal email account and not the email addresses collected and held in his governmental account.

Conclusions/Outcome: The OCF determined that there was insufficient evidence to consider the Councilmember's actions a flagrant violation of the law; but concluded that the evidence of the transmission of emails from the Councilmember did support Ms. Henderson's campaign thereby creating an appearance of impropriety. The email addresses maintained and used by the Councilmember are considered "governmental resources". The OCF determined that the Councilmember acquired the many email addresses from the mailing list maintained at his Council office or Constituent Service office, and that his use of emails for the purpose of soliciting donations and support for Ms. Henderson's campaign went beyond the mere expression of his views as defined in D.C. Official Code 1-1163.36 and 3 DCMR 3301.4.

OCF imposed a fine in the amount of Four Thousand Dollars (\$4,000). Two Thousand Dollars (\$2,000) suspended provided the Council member attended ethics training by BEGA within sixty (60) days of the initial Order.

3. C. Dianne Barnes, Docket No: OCF 2013-015

Statement Summary: A complaint was filed with the OCF by Randolph Drexler, which alleged that ANC 5E used its District of Columbia Government-sponsored website to post partisan political endorsements of candidates for Ward 5 Democrats in violation of D.C. Official Code § 1-1163.36(a) (Supp. 2013) and 3 DCMR § 3301.1(a) (August 2013). By Notice of Hearing, Statement of Violations and Order of Appearance dated September 20, 2013, OCF ordered C. Dianne Barnes, Chair ANC 5E (“Respondent”), to appear at a scheduled hearing on September 30, 2013 and show cause why ANC 5E should not be found in violation of D.C. Official Code § 1-1163.36(a) and 3 DCMR § 3301.1(a) and fined accordingly.

Conclusions/Outcome: Respondent ANC provided a credible explanation for the posting of partisan political material on the District Government-sponsored website as due to a miscommunication resulting in the prohibited use of the website. Respondent ANC immediately removed the inappropriate material from its website after notification of its existence.

The Director ordered that the respondent be given a suspended fine along with an admonishment for the insufficient control over their web site.

4. Committee to Re-Elect Trayon White, Docket No:2013 EI-001

Statement Summary: This matter came before the Office of Campaign Finance (hereafter OCF) Office of the General Counsel following receipt of an allegation in the Public Information and Records Management Division that pursuant to The Board of Ethics and Government Accountability Establishment and Comprehensive Ethics Reform and Amendment Act (The Act), codified in DC Official Code 1- 1163.02 (c), Trayon White, candidate for State Board of Education (SBOE) inappropriately used government property in his campaign for re-election, and for the dissemination of campaign literature in the November 6, 2012 General Election. Specifically, it was alleged that Trayon White used “a DC government mailing list” to send election materials to a DC government employee in violation of DC Official Code §1-1163.36.

OCF investigated the allegations. The allegations were made by Officer Marinos M. Marinos, Metropolitan Police Department (MPD), a third-party complainant. Officer Marinos did not identify the person who received the emails from Trayon White, nor provide sufficient

substantive information in support of the allegations. OCF requested Officer Marinos to submit: (1) a copy of the substantive materials sent from Trayon White's email address; and (2) the name, address, and contact telephone number of the alleged recipient of the materials along with the identity of any other persons who received the email. Officer Marinos was also requested to inform all persons who received the email from Mr. White to file complaints with OCF. In response thereto, Officer Marinos provided the name of the recipient (James Lafranchise) of the emails. It was determined that Mr. Lafranchise received two (2) emails sent approximately three (3) hours apart on November 1, 2012. No other person including the alleged recipient filed a formal complaint against Mr. White, and Officer Marinos produced no additional evidence to support the allegations.

Mr. White and Pho Palmer, Communications Coordinator for the campaign, denied that the campaign used a DC government mailing list for campaign mailing purposes; and asserted that the name of the recipient of the emails at issue more likely than not was obtained during community meetings and/or programs that included Mr. White and members of the MPD. Mr. White stated that he has a bank of approximately 5,000 email addresses that were accumulated over a ten (10) year period.

Conclusion(s)/Outcome: OCF concluded that the evidence received in this matter did not support the allegation that Trayon White used a government mailing list to transmit campaign materials. This matter was **Dismissed**.

5. Bowser 2012, Docket No: PI 2012 -103

Statement Summary: A complaint was filed by Keith Jarrell with the Board of Elections on April 2, 2012. The complaint alleged that Councilmember Muriel Bowser, a candidate for reelection for Councilmember for Ward 4 (hereinafter respondent candidate), had violated the provisions of 3 DCMR § 3300, by using her government-issued cell phone for personal gain. Specifically, Mr. Jarrell alleged that the respondent candidate used her cell phone to make and receive telephone calls related to her reelection campaign. As evidence of the infraction, Mr. Jarrell provided copies of the respondent candidate's cell phone records which he had obtained from the District of Columbia Council's Freedom of Information Act (FOIA) officer. He additionally alleged that the records reflected numerous contacts between the respondent

candidate and her campaign headquarters during regular business hours. The respondent candidate's cell phone records reflected a total of five telephone calls out of 349 calls between her government-issued cell phone and a telephone number the complainant identified as belonging to her re-election campaign during the period in question. The total amount of time expended on the telephone calls between the respondent candidate's government-issued cell phone and her re-election campaign was nine minutes out of 1,521 minutes of usage during the period in question.

Section 1.3.2 of the District of Columbia Council's Administrative Procedures Manual provides that "personal use of telephones should be limited to absolutely necessary calls". Section 1.6.3(e) of the District of Columbia Council's Administrative Procedures Manual provides in pertinent part that "scheduling assistance and information between Council and campaign staffs may be necessary to ensure that no conflict occurs between the Members campaign schedule and the Council schedule." The respondent candidate's brief use of her government-issued cell phone to coordinate between Council and Campaign schedule was clearly de minimis and does not constitute an improper use of government resources.

Conclusion(s)/Outcome: The information provided by the complainant did not sufficiently establish that the respondent candidate violated D.C. Official Code § 1-1163.36 (a) or 3 DCMR § 3300. 2. The response provided by the respondent candidate effectively refuted the allegations in the complaint. Insufficient evidence exists in this matter to support a violation of the statute or applicable regulation. This matter was **Dismissed**.

6. Kenyan McDuffie 2012, Docket No: PI 2012 -105

Statement Summary: On May 14, 2012, the Board of Elections forwarded a complaint filed by Karen Todd to the Office of Campaign Finance (OCF) in which it was alleged by a source whom Ms. Todd did not identify, that Kenyan McDuffie, candidate for the Ward Five Special Election for Councilmember was provided exclusive access to campaign within the DC Jail facility. Ms. Todd also stated that her unnamed source had alleged that members of the Department of Corrections (DOC) staff, including, Paul Quander, Deputy Mayor for Public Safety and Justice and Charles Thornton, Director of the Office on Returning Citizen Affairs, had instructed security officers to advise inmates to cast their absentee ballots for Mr. McDuffie on May 11,

2012, when the Board of Elections supervised absentee balloting for the Special Election on May 15, 2012, at the DC Jail and the Central Treatment Facility. On May 15, 2012, OCF received a statement from Charles Thornton. Mr. Thornton emphatically denied the allegations. On May 16, 2012, Paul Quander submitted a statement to OCF in which he denied the allegations and characterized the complaint as untrue and without merit. On May 17, 2012, Maria Amato, General Counsel for the DOC submitted a statement in which she indicated that Thomas Faust, Director of the DOC had conducted a review of all visiting records at the facilities in question since February 2012 and found no factual basis for the allegations. On June 5, 2012, Walter Fulton, Assistant Warden for the Corrections Corporation of America which manages the Central Treatment Facility, submitted a notarized statement in which he indicated that he observed the absentee balloting at the facility and can attest to the fact that no corrections officer was directed to or attempted to influence the vote of any inmate during the process. Mr. Fulton additionally attached notarized statements from escort officers Denise Demona, Sylante McDaniels and Tarone Lindsay who accompanied the inmates to the location where they cast their absentee ballots. All the officers denied the allegations in the complaint. On June 26, 2012, OCF received a statement from Kenyan McDuffie in which he categorically denied all allegations in the complaint.

On June 26, 2012, Complainant, Karen Todd submitted a statement to the Office of the General Counsel for the Board of Elections in which she indicated that she was withdrawing her complaint.

Conclusion(s)/Outcome: This matter was **Dismissed**.

7. Gertrude Stein Democratic Club Political Account, Docket No: 2012 PI 2012-102

Statement Summary: A complaint was filed with the OCF by Robert Kabel, Chairman of the District of Columbia Republican Committee, alleging that the Democratic State Committee (DCDSC) and the Gertrude Stein Democratic Club held partisan meetings in the John A. Wilson Building (Wilson Building) in violation of the “Board of Ethics and Government Accountability Establishment and Comprehensive Ethics Reform Emergency Act of 2012” (Act) Subtitle E. Sec. 235 (a) which prohibits the use of District government resources for campaign related activities. Specifically, Mr. Kabel alleged that the DCDSC held a meeting on Thursday, January 5, 2012, and the Gertrude Stein Democratic Club held a meeting on January 9, 2012 in the Wilson

Building. Mr. Kabel further alleged that both Democratic organizations endorse candidates and raise and spend campaign funds. Thus, according to Mr. Kabel, it is counter to the purpose of the Wilson Building for these organizations to use the facilities to promote partisan meetings and activities.

Chapter 1-14 of Title 1, “Mayor and Executive Agencies”, of the D.C. Municipal Regulations, establishes the procedures which permit the use of public buildings and grounds or any room designated for occasional public use under the direct control of the Office of Property Management. Moreover, the Council of the District of Columbia has exclusive authority over the John A. Wilson Building, by virtue of D.C. Official Code, §§ 10-1301 (a) and (b) (2) (C) , which provides in pertinent part: “(a) Notwithstanding the provisions of Chapter 8 of this title, or any other law, the building and all property located in Square 255, located at 1350 Pennsylvania Avenue, N.W., popularly referred to as the ‘District Building’ (‘Property’), is hereby designated under the exclusive authority of the Council to determine the use, management, maintenance, operation, repair, renovation, security, lease, sale, or other disposition of the Property.

Conclusion(s)/outcome: In the instant case, the use of the Wilson Building by the DCDCS and The Gertrude Stein Democratic Club appears to be consistent with the use prescribed by District of Columbia law and regulation. The organizations did not use the facilities to engage in any activity to support or oppose any candidate for elected office, or to support or oppose any initiative, referendum, or recall measure, including a charter amendment. This matter was **Dismissed.**

8. Jack Evans, Docket No: PI 2012-102

Summary Statement: A complaint was filed with the OCF by David J. Mallof, Ronald Cocome, John D. Hanrahan, and Elizabeth B. Elliott (complainants), of Washington, D.C., alleging a violation of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Complainants alleged that Councilmember Jack Evans (respondent) “improperly used his own Council office to take photographs of himself with Police Chief Cathy Lanier while she was on duty and in official uniform and then, subsequently – with or without her knowledge – used one of those photos in a campaign advertisement published in The Current newspapers on August 13,

2008 [and t]he ad, seeking votes for Respondent Evans in the September 9 Democratic primary, implied a clear endorsement of Evans by Chief Lanier, in violation of DCMR and applicable personnel rules.”

The OCF determined that throughout Respondent’s District government service, he regularly and consistently photographed himself with, among notable others, friends, colleagues, public leaders and entertainers, in his District government office at the Wilson Building; displays them therein; and considers same part of his personal possession; the Respondent’s photograph with Chief Lanier was taken with his personally owned camera and all expenses associated with the processing of photographs emanating from this camera were borne by respondent; and, however, it is highly likely that a District government employee actually captured the picture of respondent and Chief Lanier in respondent’s office on the occasion of their meeting. On the occasion when Chief Lanier met with respondent during “a standard meeting to discuss crime issues existing within Ward 2” “several personal photographs were displayed throughout his office in which he appeared with various officials and dignitaries”. Chief Lanier acquiesced to his request to pose with her for a photograph because she believed said picture would be for respondent’s personal display. The resulting photograph was taken with respondent’s personally owned camera, where all expenses associated with the processing of photographs emanating from this camera were borne by respondent, the resulting photograph was not a resource of the District of Columbia government used for a campaign related purpose because it was a personal possession of respondent. See D.C. Official Code §1-1106.51; see also 3 D.C.M.R. §3301.9.

Conclusion(s)/Outcome: Respondent did not violate D.C. Official Code §1-1106.51 when he allegedly used government resources for campaign related activities by allowing Evans - 10 - 2008, his campaign committee for the September 9, 2008 Primary Election, to place in The Current newspapers a photograph of himself posed with Police Chief Cathy Lanier, in her official Metropolitan Police Department (MPD) uniform, under the heading of “Working Together for Ward 2” and noting, among other things, “Vote Jack Evans on September 9” because the photograph was not taken for a campaign-related purpose and because Chief Lanier consented to pose with respondent in the photograph for a personal, not campaign-related, purpose.

The matter was **Dismissed**.

9. Committee to Elect Sekou Biddle At-Large, Docket No: C 2011-003

Statement Summary: A complaint was filed with the OCF by Bob Kabel, Chairman, DC Republican Committee, on March 4, 2011, which alleged that The Committee to Elect Sekou Biddle (hereinafter Respondent Committee), a registered principal campaign committee organized to support the candidacy of Sekou Biddle for At-Large Member of the Council of the District of Columbia in the April 26, 2011 Special Election, and for which Bandele F. McQueen, Esq. serves as Treasurer, may have used government resources to support a candidate for elective office, in violation of D.C. Official Code § 1-1106.51 (2001 Edition). D.C. Official Code § 1-1106.51 (a) prohibits the use of resources of the District Government, including its "... facilities To support or oppose any candidate for elected office, whether partisan or nonpartisan..."

The Office of Campaign Finance determined the Candidate Sekou Biddle and the Respondent Committee conducted a press conference on March 2, 2011 on the sidewalk near the location of Brent Elementary School, a District of Columbia Public School, whose address is 301 North Carolina Avenue, S.E. The Respondent Committee did not hold the press conference or a campaign related event to support the candidacy of Sekou Biddle on Brent Elementary School property on March 2, 2011. 4. The Respondent Committee did not use DCPS students, employees or security officers during the March 2, 2011 event.

Conclusion(s)/Outcome: This matter was **Dismissed**.

10. Rayseen Woodland, Docket No: Investigation 05-01

Statement Summary: On December 15, 2004, a complaint was filed with the OCF by Regina James, ANC for 5B03, alleging that the respondent used Noyes Elementary School, located at 10th and Franklin Streets, N.E., in Washington D.C., as a holding and distribution area for campaign literature during her successful campaign for ANC seat 5B04 in the General Election on November 2, 2004, in violation of D.C. Official Code §1-1106.51(a). According to Ms. James, the respondent's campaign materials were found on September 16 and 23, 2004 in the Welcome Center/Administrative Office of the school. Ms. James also alleged that, during the campaign, the respondent distributed pieces of literature which lacked the requisite disclaimers, in violation of D.C. Official Code §1- 1102.10. Finally, Ms. James alleged that the respondent's Summary Financial Statement of Candidate for the Office of Member of an Advisory

Neighborhood Commission (ANC Summary Financial Statement), received by OCF on December 1, 2004, pursuant to 3 D.C.M.R. §§3002.5 and 3008.14 (1998, as amended), is inaccurate, because Ms. James believed that respondent spent more than she reported for the amount of literature and advertisements distributed on respondent's behalf during the campaign.

On January 25, 2005, respondent appeared at a scheduled hearing pro se. She was accompanied by Commissioners Rebecca Scates of ANC 5B02, Joan Black ANC 5B09 and William Shelton, former chairman of ANC 5B01. The scope of the OCF investigation encompassed reviewing documents, verifying and evaluating testimony and in person interviews with Noyes Elementary School Principal, Wayne Ryan (Ryan), and Instructional Facilitator, Mary Moss (Moss). The investigation ended on March 15, 2005.

Ms. Moss stated no one affiliated with the school engaged in the promotion of any political campaign nor did the administration at the school allow the facilities to be used as a distribution center for such. She shared that the school maintained a "Parent Resource Center" in which information of general interest to the community is available to all. However, Ms. Moss emphasized that, under no circumstances were the administrative offices used to promote the candidacy of Ms. Woodland or any other candidate. Mr. Ryan wrote and signed the letter dated January 21, 2005 wherein he denied that the school had been used as a distribution center for Ms. Woodland's literature. He pointed out that, in accordance with a general directive from the Superintendent of the District of Columbia Public Schools, Noyes Elementary School joins all other District of Columbia public schools in maintaining a "Parent Resource Center." According to Mr. Ryan, the Parent Resource Center was established to encourage parental involvement in school and community affairs. He further stated that he never observed nor authorized the use of the school's administrative offices as a holding or distribution center for campaign literature for the respondent or any other candidate. However, Mr. Ryan noted that literature designed to encourage voting included information regarding all candidates for the 2004 Presidential Campaign and local elections was available in the Parent Resource Center. He added that, on past occasions, literature for candidates such as Vincent Orange, Harry Thomas, Jr. and Tommy Wells had been available and was restricted to the Parent Resource Center. Mr. Ryan asserted that if any of the respondent's campaign literature was on the premises it too would have been restricted to the Parent Resource Center.

Conclusion(s)/Outcome: Respondent did not violate D.C. Official Code §1-1106.51(a) because her campaign literature was among that of many placed in the Noyes Elementary School to advise parents and the community of the qualifications of all candidates for office during the 2004 election cycles. The matter was **Dismissed**.

11. Joy A. Arnold, Docket No: CF 2002-09

Summary Statement: In the instant case, the Inspector General alleged that Joy A. Arnold, Deputy Chief of Staff for Community Affairs, Executive Office of the Mayor (hereinafter respondent), engaged in private or personal business activity on government time and with the use of government resources on behalf of events entitled the “Mayoral Reception for the Congressional Black Caucus” (hereinafter the Black Caucus Reception) and the “Clarence Vinson Reception” (hereinafter the Vinson Reception), in violation of §§1800.1, 1803.1(f), 1803.2(a) and 1804.1(b) of the District Personnel Manual (hereinafter DPM). The OIG alleged that the respondent violated the above referenced provisions of the DPM as a result of her use of government resources to coordinate non-government events during government time. Consequently, the Inspector General alleged that the respondent engaged in activities which were not compatible with the full and proper discharge of her responsibilities as a government employee. The OIG relied exclusively upon its Report, which is incorporated herein in its entirety.

Findings of Fact: Respondent is an employee of the District of Columbia government and is subject to the enforcement provisions of the employee conduct regulations at DPM §1800 et seq. The Black Caucus Reception and the Vinson Reception were funded through solicitations by EOM staff from businesses doing business in the District of Columbia, on behalf of the District of Columbia government. Solicitation by District government employees from businesses doing business in the District of Columbia, on behalf of the District of Columbia government, is not within the purview of the DPM Standards of Conduct. The Vinson Reception and the Black Caucus Reception, notwithstanding that they were funded through solicitations by EOM staff from businesses doing business in the District of Columbia, but on behalf of the District of Columbia, were official District government events, sponsored by the Mayor, to promote the District of Columbia.

Conclusion(s)/Outcome: Respondent used District of Columbia government time and resources to plan and organize the Vinson Reception and the Black Caucus Reception; and, respondent did not violate any employee conduct regulations because the respondent was engaged in government business. Respondent used District of Columbia government time and resources to plan and organize the Vinson Reception and the Black Caucus Reception and respondent did not violate any employee conduct regulations because the respondent was directed in these tasks by her supervisor, the Mayor. The responsibility for enforcing the provisions of the employee conduct regulations against the respondent rests with Mayor Anthony A. Williams (hereinafter the Mayor).

This matter was **Dismissed**.

12. Elizabeth Berke-Valencia, Docket No: CF 2002-07

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the OIG alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. In the instant case, the OIG alleged that Elizabeth Berke-Valencia (hereinafter respondent) engaged in private or personal business activity on government time and with the use of government resources on behalf of the private, non-profit Millennium Washington Capital Bicentennial Corporation (hereinafter MWCBC) in violation of §§1803.1(f), 1804.1(b)(d), 1805.2 and 1806.1 of the District Personnel Manual (hereinafter DPM).

Findings of Fact: OCF reviewed the allegations and the record herein, and determined the following:

1. Respondent, Elizabeth Berke-Valencia, as an assistant to Mark Jones (hereinafter Jones), the Mayor’s Deputy Chief of Staff for Operations, from March until November 2000, was a public official.
2. MWCBC was incorporated in October 1999, as a private, non-profit corporation to solicit donations for the 2000 millennium celebration in the District of Columbia.

3. From November 1999 through the middle of January 2000, MWCBC operated out of the EOM office located at 1 Judiciary Square, 441 4th Street, N.W., Washington, D.C.
4. From the middle of January through July 2000, MWCBC operated out of 1730 K Street, N.W. and was still supported by D.C. government funds and resources.
5. From July through November 2000, MWCBC operated, once again, out of the EOM office located at 1 Judiciary Square, 441 4th Street, N.W., Washington, D.C.
6. There were two (2) MWCBC accounts.
7. Throughout her tenure as an assistant to the Mayor's Deputy Chief of Staff for Operations, the respondent received assignments from her supervisor, Lisa Marie Morgan (hereinafter Morgan), to perform tasks involving MWCBC activities, including signature authorization on an MWCBC account.
8. From or about March through July 2000, the respondent wrote at least 165 checks on one of the MWCBC accounts.
9. The respondent continued to perform tasks regarding MWCBC until November 2000, when she became fearful for her career as a result of her continued duties regarding MWCBC.
10. The respondent nevertheless believed that it was not inappropriate to perform tasks and sign checks regarding MWCBC because several other government employees, including her supervisor, were performing tasks regarding MWCBC.
11. The respondent also believed that her MWCBC related activities did not interfere and were not inconsistent with her role as a government employee because she performed these activities pursuant to assignments from her superiors.
12. On or about June 6, 2000, the respondent, were informed by Office of Corporation Counsel (OCC) staff that they were prohibited from performing tasks on behalf of a non-governmental entity.
13. The respondent resigned from the government on November 1, 2000.

Conclusion(s)/Outcome: Respondent used District of Columbia time and resources to perform extensive tasks on behalf of WMCBC, a private entity operating under the auspices of a government staffers. There was no evidence to suggest that the respondent was authorized by the Office of the Chief Financial Officer or the D.C. Treasurer or their designees to oversee WMCBC financial accounts and sign checks inuring to the benefit of the District of Columbia. Therefore, the activities performed were not considered to be government business. The

responsibility for enforcing the provisions of the employee conduct rules against the respondent rests with the Director of the Department of Transportation.

The Director of OCF recommended that the Director of the Department of Transportation admonish Elizabeth Berke-Valencia for her prohibitive conduct. Moreover, the Director of OCF further recommended that the Director of the Department of Transportation require Elizabeth Berke-Valencia to participate in any ethics meetings and workshops, scheduled by the District Government to become closely familiar with the provisions and prohibitions of the Standards of Conduct.

14. Gloria Ann Cantey, Docket No: CF 2002-02

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the Inspector General alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct (DPM). In the instant case, the Inspector General alleged that Cloria Ann Cantey (hereinafter respondent) engaged in private or personal business activity on government time and with the use of government resources on behalf of the non-profit For The Kids Foundation (hereinafter FTKF) in violation of §§1803.1(f), 1804.1(b) and (d), 1805.2 and 1806.1 of the District Personnel Manual (hereinafter DPM).

Findings of Fact: The respondent was a Contract Specialist with the Office of Government Business and Human Capital. She had been employed with the Government of the District of Columbia for more than 23 years. She occupied her current position for approximately 2 years. During the time of the instant Report, the respondent was employed in the Office of Mission Support of the Office of the Chief Financial Officer (the CFO’s Office). Respondent was subject to the enforcement provisions of the employee conduct regulations.

Respondent stated that she believed that FTKF’s business was government business. The programs developed and implemented for the benefit of the children of the District of Columbia

were government programs. It was determined that Respondent used District of Columbia government time and resources to sign a blank IRS form and to allow the use of her home address for personal and private business. It is more likely than not that the respondent understood her actions violated the employee conduct regulations because the respondent was lending her name and home address to a private, non-profit corporation which was to be used as a conduit for government business.

Conclusion(s)/Outcome: The responsibility for enforcing the provisions of the employee conduct rules against the respondent rests with the head of the Office of Government Business and Human Capital.

The Director of OCF recommended to the head of the Office of Government Business and Human Capital that he/she direct the respondent to refrain, in the future, from prohibitive conduct, and to mandate that the respondent, if she has not already done so, attend training sessions on the DPM Standards of Conduct.

15. Marie Drissel, Docket No: CF 2002-08

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the OIG alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. In the instant case, the Inspector General has alleged that Marie Drissel (hereinafter respondent) engaged in private or personal business activity on government time and with the use of government resources on behalf of the private, non-profit Millennium Washington Capital Bicentennial Corporation (hereinafter MWCBC) in violation of §§1803.1(f), 1804.1(b) and (d), 1805.2 and 1806.1 of the District Personnel Manual (hereinafter DPM).

Findings of Fact: The OIG alleged that the respondent violated the above referenced provisions of the DPM as a result of her role as a director of MWCBC, which was a private, non-profit, tax exempt corporation that was used to generate funds for non-government activity. Consequently,

the OIG alleged that the respondent engaged in activity which was not compatible with the full and proper discharge of her responsibilities as a government employee and that her activity created the appearance of impropriety.

Respondent was an employee of the District of Columbia government and was subject to the enforcement provisions of the employee conduct regulations at DPM. From November 1999 through November 2000, MWCBC, notwithstanding that it was a private, non-profit corporation, was supported by D.C. government employees, funds and resources; and, the respondent stated that she believed that MWCBC business was government business. The Respondent used District of Columbia government time and resources to co-incorporate MWCBC and to perform tasks with regard to an MWCBC account from the fall of 1999 through January 2000; and, notwithstanding the fact that respondent believed that MWCBC business was government business, it is more likely than not that the respondent was well aware her actions violated the employee conduct regulations because respondent signed at least 65 checks over an MWCBC account.

The Respondent's management of an MWCBC account over which she signed at least 65 checks; and, notwithstanding that the purpose and proceeds thereof ostensibly inured to the District of Columbia government, was not government business. The responsibility for enforcing the provisions of the employee conduct rules against the respondent rested with the Mayor of the District of Columbia (hereinafter Mayor).

Conclusion(s)/Outcome: Marie Drissel resigned her employment with the DC government. Had she remained an employee the e OCF Director would have recommended that the Mayor of the District of Columbia take disciplinary action against Marie Drissel based upon her violations of the Standards of Conduct to include a change in her assigned duties, corrective or adverse action, her disqualification from a particular assignment, her removal from District government or any action he deemed appropriate.

16. Alfonza Fitzgerald, Docket No: 2002-01

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia

(hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report), (OIG Control Number 2001-0188 (S)). In the Report, the Inspector General alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards of Conduct. In the instant case, the Inspector General has alleged that Alfonza Fitzgerald (hereinafter respondent) engaged in private or personal business activity on government time and with the use of government resources on behalf of the private, non-profit Millennium Washington Capitol-Bicentennial Corporation (hereinafter MWCBC) in violation of §§1700.2, 1702,1705 and §1806.1 of the District Personnel Manual. The OIG alleged that respondent violated the above referenced law as a result of his involvement in a Sole Source procurement he allegedly processed on behalf of MWCBC.

Findings of Fact: The OCF found the District of Columbia Personnel Manual the governing provision of law in this matter. Specifically, DPM Section 1806.1 provided: “A District employee shall not use or permit the use of government property, equipment or material of any kind... for other than officially approved purposes”. Upon OCF’s evaluation of the material amassed in this inquiry, it was decided that the parameters of this inquiry extended solely to the DPM employee conduct regulations. There was not any credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in any activity subject to the reporting requirements and contribution limitations of the Act, or used District government resources for campaign related activities.² See D.C. Official Code §1-1106.01. Additionally, fines may be assessed for any violation of the Act. OCF’s review did not reveal any such activity.

From November 1999 through the middle of January 2000, MWCBC, notwithstanding that it was a private, non-profit corporation, operated out of 1 Judiciary Square as a District of Columbia government agency; and the respondent believed that MWCBC business was government business. Respondent used District of Columbia government property, equipment and material to process government purchase orders on behalf of MWCBC, and, did violate the

employee conduct regulations, notwithstanding respondent, in performing tasks to process MWCBC purchase orders executed same at the direction of his supervisor.

Conclusion(s)/Outcome: Because of the limited participation of the respondent in the conduct of MWCBC business on government time, it was recommended that the OCF Director recommended that the Mayor direct the respondent to refrain, in the future, from prohibitive conduct, and to mandate that the respondent, if he has not already done so, attend training sessions on the DPM Standards of Conduct.

17. Mark Jones, Docket No: CF 2002-12

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the Inspector General alleged that Mark Jones (hereinafter Jones), former Deputy Chief of Staff in the Executive Office of the Mayor (hereinafter EOM), engaged in prohibited activity that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. Specifically, the OIG alleged that the respondent was engaged in private or personal business activity on government time and with the use of government resources of behalf of two (2) non-profit organizations: Church Association for Community Service (hereinafter CACS), and For the Kids Foundation, Inc. (hereinafter FTKF). Overall, the respondent is alleged to have violated §§1800.1, 1803.1(f), 1803.2(A), and 1804.1(b) and (i) of the District Personnel Manual (hereinafter DPM).

Finding of Fact: There was no credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in any activity subject to the reporting requirements and contribution limitations of the Act, or used District government resources for campaign related activities.³ See D.C. Official Code §1-1106.01. Additionally, fines may be assessed for any violation of the Act. OCF’s review did not reveal any such activity.

Upon investigation by OCF it was decided that the parameters of this inquiry extended solely to the District of Columbia Personnel Manual (DPM) employee conduct regulations. Accordingly, where a violation of the DPM employee conduct regulations has occurred, OCF is limited with respect to any action which otherwise may be ordered. Inasmuch as the DPM consists of personnel regulations, fines cannot be assessed. The Director may only recommend disciplinary action to the person responsible for enforcing the provisions of the employee conduct rules against the respondent.

Conclusion(s)/Outcome: During his tenure as Deputy Chief of Staff Respondent was an employee of the District of Columbia government and was subject to the enforcement provisions of the employee conduct regulations at DPM §§1800 et seq. 2. From April 2000 through September 2001, the respondent used District government employees, supplies and time to solicit contributions for CACS and FTKF, private non-profit organizations, to fund mayoral programs and violated the DPM regulations because soliciting funds for a private non-profit organization is not government business.

Mark Jones left the District government shortly after this matter was referred to OCF. Had he remained employed the OCF Director would have recommended that the Mayor take disciplinary action against him to include a change in his assigned duties, corrective or adverse action, his disqualification for a particular assignment, his removal from District government service or any other action he deemed to be appropriate.

18. Henry S. McCall, Docket No: CF 2002-11

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the OIG has alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. In the instant case, the Inspector General has alleged that Henry S. McCall (hereinafter respondent), former Deputy Chief of Staff for External Affairs in the

Executive Office of the Mayor (hereinafter EOM) engaged in private or personal business activity on government time and with the use of government resources on behalf of the private, nonprofit Millennium Washington Capital Bicentennial Corporation (MWCBC) in violation of §§1800.1, 1803.1(e)(f), 1803.2(a), 1803.10, 1804.1(b)(d)(e) and (i) 1805.2 and 1806.1 of the District Personnel Manual (hereinafter DPM).

Findings of Fact: OCF evaluated the material amassed in this inquiry. It was decided that the parameters of this inquiry extended solely to the DPM employee conduct regulations. There was no credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in any activity subject to the reporting requirements and contribution limitations of the Act, or used District government resources for campaign related activities.² See D.C. Official Code §1-1106.01. Additionally, fines may be assessed for any violation of the Act. OCF's review did not reveal any such activity. Accordingly, where a violation of the DPM employee conduct regulations has occurred, OCF is limited with respect to any action which otherwise may be ordered. Inasmuch as the DPM consists of personnel regulations, fines cannot be assessed. The Director may only recommend disciplinary action to the person responsible for enforcing the provisions of the employee conduct rules against the respondent.

Respondent used District of Columbia government time and resources to perform extensive tasks with regard to MWCBC and MWCBC bank accounts from March through November 2000; and, notwithstanding the fact that respondent was directed by his supervisors to perform said tasks, it is more likely than not that the respondent was well aware that his actions violated the employee conduct regulations because respondent was in charge of a million-dollar private, non-profit corporation for which he signed or co-signed over 300 checks, and the monies should have been managed through the D.C. Treasury.

Respondent's complete and total management of MWCBC and MWCBC accounts, over which he signed or co-signed over 300 checks; and, notwithstanding that the purpose and proceeds

thereof ostensibly inured to the District of Columbia government, was private, corporate business, was not government business. The responsibility for enforcing the provisions of the employee conduct rules against the respondent would have rested with the Mayor.

Conclusion(s)/Outcome: Henry S. McCall left the District government shortly after this matter was referred. Had he remained employed the OCF Director would have recommended that the Mayor of the District of Columbia take disciplinary action against Henry S. McCall based upon his violations of the Standards of Conduct to include a change in his assigned duties, corrective or adverse action, his disqualification for a particular assignment, pursuant to DPM §1801.2, his removal from District government service or any action he deemed to be appropriate.

19. Gregory McCarthy, Docket No: CF 2002-05

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the Inspector General has alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. In the instant case, the Inspector General has alleged that Gregory McCarthy (hereinafter respondent) engaged in private or personal business activity on government time and with the use of government resources on behalf of the private, non-profit Millennium Washington Capitol- Bicentennial Corporation (hereinafter MWCBC) in violation of §§1803.1(f), 1804.1(d) and 1805.2 of the District Personnel Manual (hereinafter DPM). Respondent is an employee of the District of Columbia government and is subject to the enforcement provisions of the employee conduct regulations at DPM §§1800 et seq.

Findings of Fact: From November 1999 through November 2000, MWCBC, notwithstanding that it was a private, non-profit corporation, was supported by D.C. government employees, funds and resources; and, the respondent believed that MWCBC business was government business. Pursuant to a request by Henry S. McCall Respondent used District of Columbia government time and resources to co-incorporate MWCBC in the fall of 1999. Notwithstanding that the respondent believed that MWCBC business was government business. It is more likely

than not that the respondent understood his actions violated the employee conduct regulations because respondent co-signed for the creation of a private, non-profit corporation to be used as a conduit for government business.

Conclusion(s) and Outcome: The responsibility for enforcing the provisions of the employee conduct rules against the respondent rest with Mayor Anthony A. Williams (hereinafter the Mayor). The respondent had limited participation in the business of MWCBC. and he availed himself of ethics training. The OCF Director, recommended that the Mayor instruct the respondent to refrain, in the future, from prohibitive conduct.

20. Lisa Marie Morgan, Docket No: 2002-06

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (Control Number 2001-0188 (S)). In the Report, the OIG alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. Specifically, the Inspector General alleged that Lisa Marie Morgan (hereinafter respondent) engaged in private or personal business activity on government time and with the use of government resources on behalf of the private, non-profit Millennium Washington Capitol Bicentennial Corporation (hereinafter MWCBC) in violation of §§1800.1, 1803.1(f), 1803.2(a), 1804.1(b) and 1806.1 of the District Personnel Manual (hereinafter DPM).

Findings of Fact: Upon OCF’s evaluation of the material amassed in this inquiry, it was decided that the parameters of this inquiry extended solely to the DPM employee conduct regulations. There was not any credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in any activity subject to the reporting requirements and contribution limitations of the Act, or used District government resources for campaign related

activities.² See D.C. Official Code §1-1106.01. Additionally, fines may be assessed for any violation of the Act. OCF's review did not reveal any such activity.

Respondent, Lisa Marie Morgan, as EOM Deputy Chief of Staff for Operations, from March 1999 through March 2000, was a public official required to file a Financial Disclosure Statement (FDS) with OCF. MWCBC was incorporated in October 1999 under the auspices of Henry S. McCall, then EOM Deputy Chief of Staff for External Affairs, as a private, non-profit corporation authorized to solicit donations for the 2000 millennium celebration in the District of Columbia. Report at 50-51. From November 1999 through the middle of January 2000, MWCBC operated out of the EOM office located at 1 Judiciary Square, 441 4th Street, N.W., Washington, DC, as a District of Columbia government agency.

Respondent was an employee of the District of Columbia government and was subject to the enforcement provisions of the employee conduct regulations at DPM §§1800 et seq. The Respondent believed that MWCBC business was government business. Respondent used District of Columbia government time and resources to perform extensive tasks with regard to an MWCBC account from March 1999 through March 2000; and, notwithstanding the fact that respondent was directed by her supervisors to perform said tasks, it is more likely than not that the respondent was well aware that her actions violated the employee conduct regulations because respondent was managing a private, non-profit corporate account for government business. Respondent's management of an MWCBC account; and, notwithstanding that the purpose and proceeds thereof ostensibly inured to the District of Columbia government, was a private, corporate business.

Conclusion(s)/Outcome: The responsibility for enforcing the provisions of the employee conduct rules against the respondent rests with the Office of the City Administrator. The OCF Director recommended that City Administrator admonish Lisa Marie Morgan for her prohibitive conduct. It was further recommended that the City Administrator require Lisa Marie Morgan to participate in scheduled ethics meetings and workshops to become closely familiar the provisions and prohibitions of the Standards of Conduct.

21. Dr. Abdusalem Omer, Docket No: CF 2002-13

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the Inspector General alleged that Dr. Abdusalem Omer (hereinafter respondent), former Chief of Staff in the Executive Office of the Mayor (hereinafter EOM), engaged in prohibited activity that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. Specifically, the OIG alleged that the respondent was engaged in private or personal business activity on government time and with the use of government resources on behalf of the non-profit Millennium Washington Capital Bicentennial Corporation (MWCBC), and regarding the Mayor’s 2000 Prayer Breakfast and the August 2000 Democratic National Convention (DNC). The OIG also alleged that, to secure funding for participation in the Democratic National Convention in August 2000, respondent solicited and received financial assistance from a District entity which conducts business with and is regulated by the District government. Overall, the respondent is alleged to have violated §§1800.1, 1803.1(f), 1803.2(A), and 1804.1(b) and (i) of the District Personnel Manual (hereinafter DPM).

Findings of Fact: The OCF decided that the parameters of this inquiry extended solely to the DPM employee conduct regulations. There was no credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in any activity subject to the reporting requirements and contribution limitations of the Act, or used District government resources for campaign related activities. See D.C. Official Code §1-1106.01.

Additionally, fines may be assessed for any violation of the Act. OCF’s review did not reveal any such activity. Accordingly, where a violation of the DPM employee conduct regulations has occurred, OCF is limited with respect to any action which otherwise may be ordered. Inasmuch as the DPM consists of personnel regulations, fines cannot be assessed. The Director, OCF may

only recommend disciplinary action to the person responsible for enforcing the provisions of the employee conduct rules against the respondent.

Conclusion(s)/Outcome:

From the middle of 1999 through 2001, Mark Jones (Jones) used District government employees, supplies and time to solicit contributions for CACS and FTKF, private non-profit organizations, to fund mayoral programs and violated the DPM regulations because soliciting funds for a private non-profit organization is not government business; and, as the EOM and former chief of staff, the respondent should have been aware of Jones' conduct. The responsibility for enforcing the provisions of the employee conduct rules against the respondent would have rested with the Mayor.

Respondent's employment with the District of Columbia government concluded shortly after the investigation was completed. Had he remained employed it would have been the OCF Director's recommendation that the Mayor of the District of Columbia take disciplinary action against Dr. Abdusalem Omer based upon his violations of the Standards of Conduct to include a change in his assigned duties, corrective or adverse action, his disqualification for a particular assignment, pursuant to DPM §1801.2, his removal from District government service or any action he deemed to be appropriate.

22. Leslie K. Pinkston, Docket No: CF 2002-04

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled "Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)" (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the Inspector General alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. In the instant case, the Inspector General alleged that Leslie K. Pinkston, Director of Scheduling for the Executive Office of the Mayor (hereinafter respondent), engaged in private or personal business activity on government time and with the use of government resources on behalf of events entitled the "Mayor's Hope and Opportunity for Outstanding Performance Corner" (hereinafter Mayor's HOOP Corner), the "Mayor's December

10, 2000 Holiday Reception for Foster Children” (hereinafter Children’s Reception), and the “Mayor’s December 21, 2000 Adult Holiday Reception” (hereinafter Adult Reception) , in violation of §§1800.1, 1803.1(f), 1803.2(a) and 1804.1(b) of the District Personnel Manual (hereinafter DPM).

Findings of Fact: Upon OCF’s evaluation of the material amassed in this inquiry, it was decided that the parameters of this inquiry extended solely to the DPM employee conduct regulations. There was no credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in any activity subject to the reporting requirements and contribution limitations of the Act, or used District government resources for campaign related activities. OCF’s review did not reveal any such activity. Accordingly, where a violation of the DPM employee conduct regulations has occurred, OCF is limited with respect to any action which otherwise may be ordered. Inasmuch as the DPM consists of personnel regulations, fines cannot be assessed. The Director may only recommend disciplinary action to the person responsible for enforcing the provisions of the employee conduct rules against the respondent.

Conclusion(s)/Outcome: Respondent used District of Columbia government time and resources to participate in the planning, organizing and implementation of the Mayor’s HOOP Corner, the Children’s Reception and the Adult Reception, funded through solicitations by Mark Jones (Jones), For The Kids Foundation (FTKF) and UAF; and, notwithstanding the private, non-profit nature of both FTK and UAF, respondent did not violate any employee conduct regulations because the civic events, partially funded by FTK and UAF, were government sponsored events. Respondent used District of Columbia government time and resources to plan, organize and implement the Mayor’s HOOP Corner, the Children’s Reception and the Adult Reception, funded through solicitations by Jones for FTK and UAF; and, notwithstanding the private, non-profit nature of both FTK and UAF, respondent did not violate any employee conduct regulations because respondent was directed in these tasks by her supervisor. Respondent used District of Columbia government time and resources to plan, organize and implement the Mayor’s HOOP Corner, the Children’s Reception and the Adult Reception,

funded through solicitations by Jones for FTK and UAF; and, notwithstanding the private, non-profit nature of both FTK and UAF, respondent did not violate any employee conduct regulations because respondent was engaged in government business.

The OCF Director recommended that the Mayor to advise the respondent and that it is imperative that she, as a District government employee, become closely familiar with the provisions of the employee conduct regulations, and avail herself, if she has not already done so, of any ethics seminars or workshops scheduled by the District government.

23. Darlene Taylor, Docket No: CF 2002-10

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled “Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)” (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the Inspector General has alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. In the instant case, the Inspector General has alleged that Darlene Taylor, former Director of the Office of Intergovernmental Relations, Executive Office of the Mayor (hereinafter respondent), engaged in private or personal business activity on government time and with the use of government resources on behalf of events entitled the “Mayoral Reception for the Congressional Black Caucus” (hereinafter the Black Caucus Reception) and the “Clarence Vinson Reception” (hereinafter the Vinson Reception), in violation of §§1800.1, 1803.1(f), 1803.2(a) and 1804.1(b) of the District Personnel Manual (hereinafter DPM).

Findings of Fact: Upon OCF’s evaluation of the material amassed in this inquiry, OCF decided that the parameters of this inquiry extended solely to the DPM employee conduct regulations. There was no credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in an activity subject to the reporting requirements and

contribution limitations of the Act, or used District government resources for campaign related activities. See D.C. Official Code §1-1106.01. Additionally, fines may be assessed for any violation of the Act. OCF's review did not reveal any such activity.

Accordingly, where a violation of the DPM employee conduct regulations has occurred, OCF is limited with respect to any action which otherwise may be ordered. Inasmuch as the DPM consists of personnel regulations, fines cannot be assessed. The OCF Director may only recommend disciplinary action to the person responsible for enforcing the provisions of the employee conduct rules against the respondent.

Conclusion(s)/Outcome: Solicitations by District government employees from businesses doing business in the District of Columbia, on behalf of the District of Columbia government, is not within the purview of the DPM Standards of Conduct. The Black Caucus Reception, notwithstanding that it was funded through solicitations by respondent from businesses doing business in the District of Columbia, but on behalf of the District of Columbia, was an official District government event, sponsored by the Mayor, to promote the District of Columbia. Respondent used District of Columbia government time and resources to plan, organize, and solicit on behalf thereof, only the Black Caucus Reception; and, respondent did not violate any employee conduct regulations because the respondent was engaged in government business. Respondent used District of Columbia government time and resources to plan, organize, and solicit on behalf thereof, only the Black Caucus Reception and respondent did not violate any employee conduct regulations because the respondent was directed in these tasks by her supervisors, the Mayor, Abdulsalem Omer, and Mark Jones. The responsibility for enforcing the provisions of the employee conduct regulations against the respondent rested with Mayor Anthony A. Williams (Mayor).

IT was ORDERED that this matter be **Dismissed**.

24. Thomas Tucker, Docket No: CF 2002-14

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled "Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)" (hereinafter Report) (OIG Control

Number 2001-0188 (S)). In the Report, the OIG alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. In the instant case, the Inspector General alleged that Thomas Tucker, former Special Assistant to the Deputy Chief of Staff for External Affairs (hereinafter respondent) engaged in private or personal business activity on government time and with the use of government resources on behalf of the Church Association for Community Services (hereinafter CACS), the For The Kids Foundation (FTKF), the Mayor's Prayer Breakfast and the August 2000 Democratic National Convention in violation of §§1800.1, 1803.1(e) and (f), 1803.2(A), 1803.10, 1804.1(b), (d), (e) and (i), 1805.2, and 1806.1 of the District Personnel Manual (hereinafter DPM).

Findings of Fact: The OCF investigated and evaluated the evidence produced and it was decided that the parameters of this inquiry extended solely to the DPM employee conduct regulations. There was no credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in any activity subject to the reporting requirements and contribution limitations of the Act, or used District government resources for campaign related activities. Additionally, fines may be assessed for any violation of the Act. OCF's review did not reveal any such illegal activity.

Accordingly, where a violation of the DPM employee conduct regulations has occurred, OCF is limited with respect to any action which otherwise may be ordered. Inasmuch as the DPM consists of personnel regulations, fines cannot be assessed. The Director may only recommend disciplinary action to the person responsible for enforcing the provisions of the employee conduct rules against the respondent.

Respondent used District of Columbia government time and resources to perform tasks with regard to FTKF in 2000; and, notwithstanding the fact that respondent was directed by his supervisor, Mark Jones, to perform said tasks, it is more likely than not that the respondent was well aware that his actions violated the employee conduct regulations because respondent

requested a District government employee, Cloria Cantey, to sign a blank IRS form and to allow the use of her home address for FTKF business, which was operated out of 1 Judiciary Square, 441 4th Street, N.W., Washington, D.C. Respondent's assistance in the management of FTKF, notwithstanding that the purpose and proceeds thereof ostensibly inured to the District of Columbia government, was private, corporate business.

Respondent used District of Columbia government time and resources to plan and organize the Mayor's 2000 Holiday Party for foster children and the Vinson Reception; and, respondent did not violate any employee conduct regulations because the respondent was directed in these tasks by his supervisors, Jones and Abdulsalem Omer.

Conclusion(s)/Outcome: Thomas Tucker is no longer a District government employee. Had he remained employed with the District of Columbia government the OCF Director would have recommended that his supervisor take disciplinary action against Thomas Tucker based upon his violation of the Standards of Conduct to include a change in his assigned duties, corrective or adverse action, his disqualification for an assignment, pursuant to DPM §1801.2.

25. Hyong Yi, Docket No: CF 2002-15

Statement Summary: This matter came before the Office of Campaign Finance (hereinafter OCF) pursuant to a referral from the Office of the Inspector General for the District of Columbia (hereinafter OIG) in a published report entitled "Report of Investigation of the Fundraising Activities of the Executive Office of the Mayor (EOM)" (hereinafter Report) (OIG Control Number 2001-0188 (S)). In the Report, the Inspector General alleged that certain current and former employees engaged in behavior that violated provisions of the District of Columbia Personnel Manual Standards Of Conduct. In the instant case, the OIG alleged that Hyong Yi (hereinafter respondent), former Special Assistant to the Chief of Staff for the Executive Office of the Mayor (hereinafter EOM) engaged in private or personal business activity on government time and with the use of government resources on behalf of the non-profit Millennium Washington Capital Bicentennial Corporation (hereinafter MWCBC) in violation of §§1804.1(b) and 1806.1 of the District Personnel Manual (hereinafter DPM).

Findings of Fact: The OCF evaluated of the material amassed in this inquiry. There was no credible evidence that the respondent committed any violations of the District of Columbia Campaign Finance Reform and Conflict of Interest Act of 1974 (the Act), as amended, D.C. Official Code §§1-1101.01 et seq. (2001 Edition). Any alleged violation of the Act by the respondent would be predicated upon the premises that respondent realized personal gain through official conduct, engaged in any activity subject to the reporting requirements and contribution limitations of the Act, or used District government resources for campaign related activities. See D.C. Official Code §1-1106.01.

Accordingly, where a violation of the DPM employee conduct regulations has occurred, OCF is limited with respect to any action which otherwise may be ordered. Inasmuch as the DPM consists of personnel regulations, fines cannot be assessed. The Director may only recommend disciplinary action to the person responsible for enforcing the provisions of the employee conduct rules against the respondent.

Respondent was an employee of the District of Columbia government and was subject to the enforcement provisions of the employee conduct regulations at DPM §§1800 et seq. From November 1999 through the middle of January 2000, MWCBC, notwithstanding that it was a private, non-profit corporation, operated out of 1 Judiciary Square as a District of Columbia government agency; and the respondent believed that MWCBC business was government business. Respondent used District of Columbia government property, equipment and material to process government purchase orders on behalf of MWCBC and to exercise fiscal oversight thereof; and, it is more likely than not that the respondent understood his actions violated the employee conduct regulations because respondent was fiscally responsible for a million-dollar private, non-profit corporation. The responsibility for enforcing the provisions of the employee conduct rules against the respondent would have rested with Mayor Anthony A. Williams (hereinafter the Mayor).

Conclusion(s)/Outcome: Hyong Yi is no longer a District government employee. Had Hyong Yi remained an employee, the OCF Director would have recommended that the Mayor of the District of Columbia to take disciplinary action against Hyong Yi based upon his violations of the Standards of Conduct to include a change in his assigned duties, corrective or adverse action,

his disqualification for a particular assignment, pursuant to DPM §1801.2, or his removal from District government service.

26. Mark Jones, Docket No: PI 2001-101

Summary Statement: This matter arises out of an internal inquiry instituted by the Office of Campaign Finance (OCF) on or about February 2, 2001. It was alleged that Mark Jones misused his position / of Deputy Chief of Staff, in contravention of the D.C. personnel regulations at Chapter 18, “Employee Conduct”, of the District Personnel Manual (DPM) (Standards of Conduct). As a result of a series of contemporaneous media reports regarding Mark Jones’ fundraising activities, OCF queried whether Mr. Jones solicited funds for several private organizations to support certain public events, used government time and resources therefor, and, solicited same from some businesses regulated by the D.C. government.

Findings of Fact: Mark Jones was an employee of the District of Columbia government and was subject to the enforcement provisions of the Standards of Conduct at §§1800 et seq. Mark Jones used District government employees, supplies and time to solicit contributions for private non-profit corporations to fund the Mayor’s holiday party on December 20, 2000, at the D.C. Armory, and a Presidential Inaugural Reception on January 20, 2001, at the Wilson Building in Washington, D.C.; and, notwithstanding his belief that the conduct was within his authority, Mark Jones violated the Standards of Conduct because soliciting funds for a private non-profit organization is not government business.

By soliciting funds directly and through the Urban Assistance Fund and For the Kids Foundation from Comcast, Coca-Cola, PEPCO, Washington Gas, Technical Engineering and Applications Management, Inc. (TEAM, Inc.), and Crawford Management, and receiving therefrom, Mark Jones, notwithstanding his belief that his conduct was within his authority, violated the Standards of Conduct because he solicited and received funds from individuals and businesses conducting operations or activities, which are regulated by the D.C. government.

Conclusion(s)/Outcome: Mark Jones is no longer a District government employee. Had Mark Jones remained an employee, the OCF Director would have recommended that the Chief of Staff to the Office of the Mayor to take disciplinary action against Mark Jones based upon his violations of the Standards of Conduct. Such action could have included a change in his assigned

duties, corrective or adverse action, or his disqualification for a particular assignment, pursuant to §1801.2.

27. Freda J. Bonner, Former Treasurer, Advisory Neighborhood Commission (ANC) 4D, Docket No: PI 1999-101

Summary Statement: On February 1, 1999, the Office of Campaign Finance (OCF) internally generated a preliminary investigation against Freda J. Bonner, former treasurer of Advisory Neighborhood Commissioner 4D.1 OCF alleged that Ms. Bonner used ANC funds to pay members of her household for ANC-related duties, in violation of the conflict of interest statute at D. C. Code §1-1461 (1999 Repl. Vol.).²

Finding(s) of Fact: This matter was concurrently investigated by the U. S. Attorney's Office, because Ms. Bonner, appeared to have received Social Security checks made payable to her husband after his death and fraudulently endorsed and deposited those checks into her account. The U. S. Attorney's Office incorporated the OCF issues within its complaint against Ms. Bonner.

Conclusion(s)/Outcome: On January 28, 2000, Ms. Bonner signed a Plea Agreement with the U. S. Attorney, wherein it states that if Ms. Bonner fulfills all of her obligations thereunder, the U. S. Attorney also agreed to bring no additional criminal charges against her for, inter alia, her misconduct relating to checks she wrote payable to family members during her tenure as treasurer of ANC 4D.

This matter against Ms. Bonner was **Dismissed**.

56. How many committees are currently registered with OCF? How many committees have been registered with OCF each year, for the past ten years? Please break this number down by filer type.

RESPONSE:

There are currently 191 Committees and Programs registered with the Office of Campaign Finance, including 107 Principal Campaign Committees; 54 Political Action Committees; 9 Constituent Service Programs; 3 Statehood Fund Programs; 5 Initiative Committees; 3

Referendum Committees; 1 Recall Committee; 4 Independent Expenditure Committees; 1 Inaugural Committee; 1 Exploratory Committee; and 1 Legal Defense Committees.

The following Chart depicts new registrations by calendar year:

	PCC	PACs	CSP	Statehood	Initiative	Ref	Rec.	I.E.	Inaug.	Exp.	LDF
2008	51	6	0	0	1	0	0	0	0	0	0
2009	11	1	1	0	1	1	1	0	0	0	0
2010	42	15	0	0	0	2	0	0	0	0	0
2011	57	2	2	0	0	0	0	0	0	0	0
2012	53	10	1	0	2	0	2	0	0	0	0
2013	56	3	2	0	3	1	0	0	0	6	0
2014	72	11	0	0	7	0	1	0	1	4	0
2015	21	5	4	1	3	1	1	2	0	1	0
2016	38	3	0	0	4	0	1	8	0	1	0
2017	25	4	2	0	2	0	1	0	0	0	0
2018	63	3	0	0	5	3	0	3	1	0	0
2019	32	3	0	0	2	0	3	1	0	1	1
2020	14	1	0	0	0	0	0	0	0	0	0

a. How many committees registered in FY19 or FY20, to date, by filer type?

	<u>FY2019</u>	<u>FY2020</u>
PCC	4	9
(FEP)	14	16
PAC	2	2
I.E.	1	0
CSP	0	0
<i>Exploratory</i>	1	0
<i>Init.</i>	1	0
<i>Ref.</i>	2	0
<i>Recall</i>	3	0
<i>Inaug.</i>	1	0
<i>LDF</i>	1	0

57. How many principal campaign committees are currently open for the purpose of retiring debt?

RESPONSE:

There are currently twenty-two (22) principal campaign committees open for the purpose of retiring debt.

a. How long has each committee been open, and what is the outstanding balance of each?

<u>Committee Name</u>	<u>Registered Date</u>	<u>Loans</u>	<u>Debt</u>
2006 Orange for Mayor	6/24/2005	\$97,500	
Orange for Chair	5/10/2010	\$70,000	
Friends of Courtney R. Snowden	6/18/2014	\$16,000	
Kinlow Ward 8 Strong	12/23/2014	\$9,000	
Biddle 2012	11/08/2011	\$10,000	
Cmte to Elect Sekou Biddle at-large	12/23/2010	\$15,000	
Sheila Bunn for Ward 8	1/7/2015	\$44,919	
Cmte. To Elect Natalie Williams	12/9/2011	\$972	
Cmte. To elect Khalid Pitts 2014	4/2/2014	\$15,000	
Toliver for Ward 4	1/9/2015	\$5,000	
Abraham for Ward 8	12/31/2014	\$5,026	
Re-elect Yvette Alexander 2012	6/24/2011		\$7,700
Hubbard for Ward 5	2/6/2012		\$1,066
Stauss 2014 Committee	11/15/2013	\$25,000	\$9,369
Re-elect Yvette Alexander 2016	9/24/2015		\$4,600
Robert White 2016	12/11/2015	\$2,031	
Markus for Ward 8	3/2/2016		\$8,730
Karen 7 SBOE	3/8/2016	\$250	

2018 Committees

Dionne for DC	10/5/2017	\$7,437	\$29,098
Andria Thomas for DC	3/13/2018	\$20,000	
Callie for State Board of Education	7/13/2018	\$2,000	
Frazier O'Leary for Ward 4	9/7/2018	\$2,600	\$1,121

It should be noted that all loans are primarily owed by the committee to the candidate.

b. What activities, if any, did each of these committees undertake in FY19 or FY20, to date?

The Biddle 2012 committee filed a Termination R&E Report on 11/18/2019 and is awaiting approval from the OCF

58. Please provide an update on any enhancements OCF made to its e-filing and disclosure system in FY19 or FY20, to date.

RESPONSE:

In general, the most recent enhancements to the E-Filing and Disclosure System are discussed in the Responses to Questions No. 38 and 39.

i. How has the agency used its e-filing system to flag excessive contributions upon filing?

The agency uses multiple methods to track and identify/flag excessive contributions that span more than one coverage period in the two modules described below:

First, the Contributions Data Entry Screen allows filers to enter contribution details into the E-Filing Applications:

- a. The E-Filing System provides a warning message to the filers – when a contribution is above/exceeds the allowed limit, the system will flash a warning message to the filer. This will allow the filer to address the excessive contribution and/or research duplicate contributions if any.
- b. Address auto-complete – The address of the contributor is auto populated as the filer types. The integration of the USPS address database prevents the entry of addresses which are not available in the USPS database. The user entered address is compared against the USPS Standard Format. This feature requires the filer to accurately provide contributor information and limits the receipt of excessive contributions due to data errors in the reporting of information critical to the identification of the contributor.
- c. Contributors List and auto-complete – The filer has the option to select the name of a contributor from a pop up list where the contributor has given previously, and the system will also auto populate the name as the user types the first name or last name or organization name, if present; and will store a code for the name entered to identify similar sounding names. This prevents the duplication of contributor information and data entry errors.
- d. Previous contributor validation – The system verifies if similar contributor exists in the system by comparing the sound of the contributor's name. This prevents data entry errors and the duplication of contributor information

Second, the Flagged Contributors Module is available for administrative use only and initially lists the filers who have received contributions in excess of the limits. This screen provides a quick summary that includes the committee name, number of excessive contributions, and the total amount received in excess of the allowed limit. The Module allows contributors to be grouped by name, address, or by both name and address by aggregate amount received; and by similar sounding contributor names. The module also features an export module that enables the

export of all flagged contributions to excel and the referral of the lists to the Audit Branch for further review and inquiry.

59. Please describe OCF's records preservation policies. Did the agency make any changes to these policies in FY19 or FY20, to date?

RESPONSE:

The Public Information and Records Management Division (PIRM) of the Office of Campaign Finance is the first contact that a member of the public or a prospective candidate has with the Agency. The PIRM Division is responsible for the intake of all original documents. When an individual registers with the Office of Campaign Finance as a candidate, there are several forms which must be executed, including the Statement of Candidacy (OCF Form 15) and the Request for Candidate Waiver (OCF Form 5). Further, where the candidate designates a principal Campaign Committee on the Statement of Candidacy Form, a Statement of Organization (OCF Form 14), Statement of Acceptance of Position of Chairperson (OCF Form 1), and Statement of Acceptance of Position of Treasurer (OCF Form 2), must also be filed. These Forms constitute the entire contents of the original documents filed by a candidate. The Agency makes copies of all Registration Documents and maintains the copies in a separate binder. The Registration Documents are also scanned and stored on a flash drive. The original documents are placed in a Folder identified for the respective candidate and their designated principal campaign committee. Once filed, the Public Affairs Manager is personally responsible for the contemporaneous data entry of all information provided in the documents into the OCF E-Filing and Disclosure System, where it is stored and available for public view at the OCF Website, www.ocf.dc.gov, under the "Registration Disclosure" Search Feature. The Folder is then maintained in a locked File Room which stores all active committee folders in the Office of Campaign Finance. Public access to the Folders is available only by written request made through the PIRM staff.

The remaining financial activity reports/documents filed with the Office of Campaign Finance are submitted electronically at the OCF Website, consistent with the provisions of the Campaign Finance Act, as amended. The documents or the information contained therein are available at the OCF Website in PDF, Excel or some other format, and are relied upon as our primary source for the information reported.

The following represents the Records Retention and Disposition Schedule for the Office of Campaign Finance, as revised effective September 11, 2019, to apply to both the preservation of paper and electronic copies of reports and statements for ten (10) years from the date of receipt.

DIA Number	Record Series Title	Minimum Retention Period and Final Disposition
1004.1	Registration Forms	Retain for 10 years then destroy
1004.2	Financial Disclosure Statements	Retain for 10 years then destroy
1004.3	Lobbyist Reports	Retain for 10 years then destroy
1004.4	Receipts, Expenditures, Exemptions Reports	Retain for 10 years then destroy
1004.5	Audit Reports	Retain for 10 years then destroy
1004.6	Case Files	Retain for 10 years then destroy
1004.7	Statement of Economic Interest	Retain for 10 years then destroy
1004.8	Legislation Files	Retain for 10 years then destroy

60. Please provide an update on OCF’s efforts to promote compliance with the “affiliated entity” reporting requirement.

- a. In how many instances were affiliated entities of business contributors listed in FY19 or FY20, to date? Out of how many business contributors?**

RESPONSE:

	FY 19	
	<u>Business Contributors</u>	<u>Affiliated Entities</u>
PCC	261	0
PAC	64	1
CSP	108	0
I.E.	6	3
Inaugural	88	0

FY 20

	<u>Business Contributors</u>	<u>Affiliated Entities</u>
PCC	128	0
PAC	111	0
CSP	0	0
I.E.	1	1
Inaugural	0	0
LDF	0	0

The breakdown of contributor data researched by the Office of the General Counsel during FY19 and FY20, to date, follows:

FY 2019 Business Contributors Total

- 351 business contributors were researched
- 129 business contributors were determined to have affiliated entities
- 17 business contributors with affiliated entities which made possible excessive contributions and were not reported as affiliated entities were referred to the Audit Division for further inquiry

	<u>Business Contributors</u>	<u>Affiliated Entities</u>
PCC	273	72
PAC	5	5
CSP	0	0
IEP	0	0
IC	73	52

b. How many reports of affiliated entities were there by campaigns?

RESPONSE:

There were no contributions received from affiliated entities of business contributors reported by Principal Campaign Committees for Fiscal Year 2019, and Fiscal Year 2020, to date.

c. How many were found later by OCF during its review?

RESPONSE:

The Office of the General Counsel’s business contributor verification process yielded the following results:

FY 2019 Business Contributors Total

- 351 business contributors were researched
- 129 business contributors were determined to have affiliated entities
- 17 business contributors with affiliated entities and possible excessive contributions were referred to the Audit Division for further inquiry

October 10th, 2018 R&E Report:

- 88 business contributors
- 23 affiliated entities
- 5 possible excessive contributions

8 Day Pre-General Election Report (Oct. 29th, 2018):

- 61 business contributors
- 15 affiliated entities
- 1 possible excessive contribution

December 10th, 2018 R&E Report:

- 32 business contributors
- 11 affiliated entities
- 1 possible excessive contribution

January 31st, 2019 R&E Report

- 5 business contributors for PCCs
- 1 affiliated entity
- 2 possible excessive contributions
- 73 business contributors for Inaugural Committees
- 52 affiliated entities
- 5 possible excessive contributions

April 10th, 2019 R&E Report

- 5 business contributors for PACs
- 5 affiliated entities
- 0 possible excessive contributions

July 31st, 2019 R&E Report

- 87 business contributors for PCCs
- 22 affiliated entities
- 3 possible excessive contributions

During FY 2019, the OCF Office of the General Counsel noted seventeen (17) instances where affiliated business contributors made possible excessive contributions to Principal Campaign Committees and to an Inaugural committee. Through the audit process these matters were resolved. The Inaugural Committee refunded two (2) excessive contributions totaling \$20,000.00 and the Principal Campaign Committee refunded one (1) excessive contribution in the amount of \$500.00. It was evidenced that the remaining eleven (14) contributions were not affiliated and therefore not excessive.

During FY19, and FY20, to date, the Office of Campaign Finance will continue to intensify its efforts to promote compliance with the “Business Contributor” Rule. The Agency expanded its Educational Program to extend its outreach efforts to the Business Community and notify various associations of the availability of the Agency to present seminars onsite at their facilities concerning the “business contributor” disclosure requirement to promote a clear understanding of the applicable provisions of the current laws and regulations, and of the dates of onsite seminars. Further, the Agency incorporated Training Seminars specific to “Contributions by Business Entities” in its 2019 and 2020 Training Calendar; and developed a Website Training for Business Contributors on OCF Form 32.

As required by recent amendments to the Campaign Finance Act, the reporting requirements of contributions received from business contributors is reinforced to the filing community through the mandatory entrance conferences, the onsite educational seminars, the Pre-Notification and Request for Additional Information Programs, and the OCF Website. During the training sessions, the filing community is instructed that each business entity must identify for the

committee at the time of contribution each one of its affiliated entities which have also contributed to the committee, and certify that for each contribution made, none of its affiliated entities have made a contribution that when aggregated with its contribution, exceeds the contribution limits; and that it is the responsibility of the committee to collect and disclose the information on its reports of receipts and expenditures. The Audit Branch uses the Request for Additional Information Program to require filing entities which report business contributions to submit OCF Form 32 for review, and thereby verify compliance with the Business Contributor requirement. The Office of Campaign Finance modified the E-Filing Applications to provide a warning message that appears on the Screen when one is about to enter a business contribution which reminds the filer that “you are required to list the name of any affiliated entity that has also made a contribution to the committee.”

Last, the Office of Campaign Finance following each filing deadline, commencing with the October 10, 2018 due date, has conducted the random sample of the reported contributions of at least fifty (50) “Business Contributors” from each financial report to verify that the contribution does not exceed the contribution limitation. The Agency compares the sample to information included in publications and additional resources which identify business affiliates to determine whether any affiliated persons or entity of a business contributor has also contributed to the same committee. It should be noted that due to the small number of Business Contributors in FY19 and FY20, to date, the Office of Campaign Finance has verified the status of all Business Contributions.

Notwithstanding the efforts of the Agency, the Business Contributor bears the primary responsibility to disclose information regarding affiliated persons or entities to committees, which are then required to report same.

The breakdown of contributor data by donor type during FY19 and FY20, to date, follows:

FY 2019

Total Contributors – 7,488

Individual Contributors – 7,163 (96% of Total Contributors)

Business Contributors – 325 (4% of Total Contributors)

Individual Contributions to PCCs
3,751

Individual Contributions to PACs
3,412

Business Contributions to PCCs
261

Business Contributions to PACs
64

FY 2020

Total Contributors – 1,998, to date
Individual Contributors – 1,747 (87% of Total Contributors)
Business Contributors – 251 (13% of Total Contributors)

Individual Contributions to PCCs (FY 2020: 10/1/19- 12/12/19)
1,138

Individual Contributions to PACs (FY 2020: 10/1/19 – 12/12/19)
609

Business Contributions to PCCs (FY 2020: 10/1/19 – 12/12/19)
140

Business Contributions to PACs (FY 2020: 10/1 /19 – 12/12/29)
111

d. How has the agency made information relating to affiliated entities publicly accessible?

RESPONSE:

During FY16, the Agency introduced at the OCF Website, the Affiliated Entity Search, which may be found at the “Data and Reports” Link on the Home Page. This Search Feature allows the public to search contributions to identify contributions by a business entity, where the filer has listed all the affiliated entities of the business contributor which have also contributed to the filer. The business contributor and its affiliated entities share the contribution limits imposed by the Campaign Finance Act. The user must select the criteria that best defines the results required (i.e., the recipient, the report name, the amount, the date, the contributor, the contribution

location, and the contribution type). The database for this feature is dependent upon the reporting of affiliated entities on Schedule A (Contributions) of the Report of Receipts and Expenditures where the filer reports the receipt of contributions by a “Business Contributor” whose affiliated entities have also contributed to the same recipient.

61. To what extent does OCF view its mission as that of proactively making recommendations for improving the District’s campaign finance laws and evaluating national best practices?

RESPONSE:

The Office of Campaign Finance has always viewed its mission proactively. In this regard the agency invites the participation of members of the community and public interest organizations to provide recommendations on how the agency may become more efficient and effective. Agency management often consults the Brennan Center for Justice for guidance on trends in Campaign Finance and Ethics Laws on a national level. In addition, the Agency routinely researches the statutes, regulations, and practices of our counterparts in other jurisdictions to determine in specific areas whether the District’s Campaign Finance Laws are consistent with national best practices, and if not, to propose amendments. The Agency consulted the Federal Elections Commission, and agencies with parallel responsibilities in Kentucky, Maryland, New York State, and Washington State to determine how the issue of incomplete contributor information is resolved in those jurisdictions to ensure that the OCF process was consistent with national best practices.

The Office of Campaign Finance concluded that the practices of the agencies were consistent with the practice of the Office of Campaign Finance. All the agencies (federal and state) contacted, when asked stated that they do not refuse filings from candidates/committees that are deficient because the contributor’s information regarding employer and occupation is not disclosed. It was the position of every agency that the candidate/committee would be notified of the deficiency and be given an opportunity to correct the deficiency. All cases in which the deficiency was not corrected and/or resolved would be sent to the enforcement division. In addition, it was the agency’s position that the candidate/committee was not required to return campaign contributions received unless the contribution was found to be excessive and/or illegal.

Notwithstanding, the Office of Campaign Finance determined that going forward, the following warning message is displayed on the e-filing applications to filers:

Pursuant to D.C. Official Code Section 1-1163.09(c) (2), Contributor information for an individual is required to include the contributor's occupation, employer, and principal place of business, if applicable. Failure to include this information will warrant additional review of this report.

During Fiscal Year 2019, in February of 2019, the Office of Campaign Finance consulted the New York City Campaign Finance Board and the Public Financing Unit of the Citizen's Election Program for the Connecticut State Elections Enforcement Commission to determine the reasoning behind the minimum reportable contributions which may be matched, for listings of what constitutes the appropriate expenditure of public funds by campaigns, and any factors used to determine who participates in debates and moderates debates. The Agency solicited the information to assist with the drafting of regulations to fully implement the Fair Elections Program. The Agency also consulted in December 2018, the Director of Auditing and Accounting for the NYCCFB concerning the verification process used when administering the public financing program, and in April 2019 concerning the processing of credit card contributions.

Further, the Agency makes recommendations when appropriate to the Council of the District of Columbia regarding legislation required to bring the District into compliance with Federal law, and to improve the operations of the Agency. By correspondence dated March 5, 2019 and addressed to the Chairperson of the Committee on the Judiciary and Public Safety, the Office of Campaign Finance proposed several amendments to support a more effective implementation of the Fair Elections Act of 2018. The proposals were subsequently incorporated in D.C. Law 23-16, the "Fiscal Year 2020 Budget Support Act of 2019", effective September 11, 2019.

As the Committee was previously advised, the Agency established a Fair Elections Planning Committee during Fiscal Year 2019 which includes OCF managers and individuals and organizations who were the principal advocates of public financing of political campaigns in the District of Columbia who worked diligently to advance the legislation that created the Fair Elections Program. OCF continues to collaborate with the group to development regulations and

best practices which will result in a successful program that will eliminate financial barriers and increase opportunities that will allow residents to become more engaged in the political process. Accordingly, the Agency intends to submit during FY20 proposals to the Council of the District of Columbia from our collaborative efforts for review and hopefully implementation through amendments to the current law.

62. How does OCF stay on top of national trends in campaign finance?

RESPONSE:

The Office of Campaign Finance relies on numerous resources including the Federal Elections Commission, Brennan Center for Justice, Council on Government Ethics Laws, the National Association of Administrative Law Judiciary and as a result of the proximity to the U.S. Congress, national news is also local news in the District of Columbia and “Campaign Finance Reform” is a frequent topic of discussion on Capitol Hill. In addition, OCF conducts independent research to determine what trends are emerging in other jurisdictions. Further, the OCF Managers routinely research changes in the campaign finance laws of other jurisdictions and search out what’s trending in government organizations and on social media sites, as more fully explained in the OCF Response to the Committee’s Question numbered 61.

The RAAD attends webinars with trending campaign rules and regulations on all levels. The Office of Campaign Finance works diligently to remain on top of and abreast of national campaign finance trends. OCF is developing a partnership with the Federal Elections Commission, specifically with the FEC’s Audit Division. In addition, the agency has forged working relations with local and state Campaign Finance agencies across the county, including with campaign finance agencies located in Annapolis, Maryland, New York, New York, and Connecticut. The Office of Campaign Finance has continued in FY19 and FY20, to date, to research how various jurisdictions administer their public financing programs through the examination of their statutes, regulations, forms, brochures, guides, training materials, and post-election reports. Members of the Office of Campaign Finance Staff participated in the 2018 Council on Government Ethics Laws (COGEL) Conference in Philadelphia Pennsylvania in December 2018, and the 2019 COGEL Conference in Chicago, Illinois in December 2019. Attendance at the COGEL Conference presents the OCF staff members with the opportunity to

attend seminars critical to the successful administration of the Campaign Finance Laws. The attendees are exposed to the emerging trends in Campaign Finance Laws and Operations and provided the occasion for the exchanges of ideas and the establishment of contacts with colleagues in state and federal jurisdictions in the United States and in Canada. During the 2019 COGEL Conference, Erick Jackson, the OCF Fair Elections Program Division Manager, and Wesley Williams, the OCF Public Information and Records Management Division Manager, lead a morning roundtable discussion on “Starting a New Program, the Fair Elections Program in the District of Columbia.”

63. Please provide an update on the implementation of the Fair Elections Program.

a. Please complete the tables below.

Candidate's Name:	Office Sought	Date Candidate Sought Fair Elections Certification[1]	Date Candidate Qualified as a Fair Elections "Participating Candidate"	Number of Qualifying Small-Dollar Contributions ("QSDC") at Qualification	Average QSDC \$ Value at Qualification	Total \$ Value of QSDCs at Qualification	Number of Cash QSDCs at Qualification	Number of Small-Dollar Contributors at Qualification	Number of Non-District Resident Individual Contributions at Qualification	Average Non-District Resident Individual Contribution \$ Value at Qualification	Total \$ Value of Non-District Resident Individual Contributions at Qualification	Number of Non-District Resident Individual Contributors at Qualification
Boston for State Board of Education Ward 7 2020	D.C. State Board of Education Ward 7	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Yilin Zhang for Ward 2	DC Council Member Ward 2	10/25/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		12/9/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		12/10/2019	12/31/2019	111	\$32.14	\$3,568.00	10	114	20	\$40.50	\$850.00	20
Committee to Elect Taurus Phillis	DC Council Member Ward 8	10/12/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Kelvin Brown for DC Council Ward	DC Council Member Ward 7	10/10/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		10/31/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		12/10/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Date for DC	DC Council Member At-Large	8/12/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		10/31/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Boston for State Board of Education At-Large	D.C. State Board of Education At-Large	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Franklin for DC 2020	DC Council Member At-Large	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Daniel Hernandez For Ward 2	DC Council Member Ward 4	8/12/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		10/10/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		12/10/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Markus Batchelor for DC	At-Large Council Member	10/11/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Rosenberg 2020	DC Council Member Ward 7	10/18/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Committee to Elect Renee Bowser	DC Council Member Ward 4	12/11/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Committee to Elect Jeanne Lewis	At-Large Council Member	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Committee to Elect Mario Cristaldo	At-Large Council Member	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
The Committee to Elect Janesse Lewis George	DC Council Member Ward 4	8/31/2019	9/17/2019	307	\$40.03	\$12,290.00	5	323	73	\$37.09	\$2,708.00	72
Kishan for DC 2020	DC Council Member Ward 2	7/31/2019	15-Aug-19	267	\$33.50	\$8,943.00	1	270	89	\$39.80	\$3,542.00	88
Chander for Council	At-Large City Council	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Let's Reid 2020	Ward 8 Member of State board of Education	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Jordan Grossman for Ward 2	Council Ward 2	7/31/2019	8/14/2019	417	\$42.17	\$17,586.02	1	427	209	\$44.72	\$9,346.00	204
John Fanning for Ward 2	Council Ward 2	7/31/2019	9/12/2019	163	\$39.20	\$6,390.00	8	187	15	\$48.00	\$720.00	14
Gaston 2020	D.C. State Board of Education Ward 8	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Committee to Elect Stuart Anderson	Council Ward 8	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Christopher Cole for Ward 8	Council Ward 8	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Patrick Kennedy for Ward 2	Council Ward 2	7/31/2019	8/14/2019	210	\$42.35	\$8,515.00	6	210	38	\$40.66	\$1,545.00	38
Green for Ward 7	Council Ward 7	8/1/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		10/10/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		10/17/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		10/31/2019	11/22/2019	56	\$25.29	\$2,681.00	2	56	0	0	0	N/A

Participating Candidate's Name	Base Amount Paid	Date Base Amount Paid	Reporting Date X/X/XX[2]	Total \$ Value of Matching Payments Disbursed to Candidate During Reporting Period	Number of QSDCs During Reporting Period	Number of Small-Dollar Contributors During Reporting Period	Number of Non-District Resident Individual Contributions During Reporting Period	Number of Non-District Resident Individual Contributors During Reporting Period	Total \$ Value of Fair Elections Matching Payments Disbursed to Candidate	Total \$ Value of Fair Elections Funds Disbursed to Candidate (Base + Matching)	Date Participating Candidate Reached the Payments Cap
Yilin Zhang for Ward 2	\$20,000	12/31/2019	10/25/2019-12/9/2019	\$17,840.00	111	114	20	20	\$17,840.00	\$37,840	N/A
The Committee to Elect Janesse Lewis George	\$20,000	8/19/2019	8/1/19-8/31/19	\$61,450.00	307	323	73	72	\$61,450.00	\$81,450.00	N/A
			9/1/2019-10/10/2019	\$3,720.00	91	92	8	8	\$18,600.00	\$18,600.00	N/A
			10/11/2019-12/10/2019	\$7,875.10	204	214	21	20	\$39,375.50	\$39,375.50	N/A
Kishan for DC 2020	\$20,000	8/15/2019	6/22/19-7/31/2019	\$44,715.00	267	270	89	86	\$44,715.00	\$64,715.00	N/A
			8/1/19-10/10/2019	\$21,805.00	129	132	68	67	\$21,805.00	\$21,805.00	N/A
			10/11/19-12/10/2019	\$13,555.00	82	87	23	23	\$13,555.00	\$13,555.00	N/A
Jordan Grossman for Ward 2	\$20,000	8/15/2019	5/13/19-7/31/2019	\$87,930.10	417	427	209	204	\$87,930.10	\$107,930.10	N/A
			Amendment 1 5/13/19-7/31/2019	\$1,425.00	6	6	0	0	\$1,425.00	\$1,425.00	N/A
			08/01/19-10/10/2019	\$30,645.00	150	150	66	66	\$30,645.00	\$30,645.00	N/A
			Amendment 1 08/01/19-10/10/2019	\$572.55	4	4	0	0	\$572.55	\$572.55	N/A
			10/11/19-12/10/2019	\$16,429.00	92	93	18	18	\$16,429.00	\$16,429.00	N/A
			Amendment 1 10/11/19-12/10/2019	\$250.00	1	1	0	0	\$250.00	\$250.00	N/A
John Fanning for Ward 2	\$20,000	9/13/2019	Amendment 1 6/1/2019-7/31/2019	\$31,950.00	163	187	15	14	\$31,950.00	\$51,950.00	N/A
			Amendment 2 6/1/2019-7/31/2019	\$750.00	3	3	0	0	\$750.00	\$750.00	N/A
			8/1/2019-10/10/2019	\$4,200.00	23	33	7	6	\$4,200.00	\$4,200.00	N/A
			10/11/2019-12/10/2019	\$2,775.00	16	16	0	0	\$2,775.00	\$2,775.00	N/A
Patrick Kennedy for Ward 2	\$20,000	8/14/2019	04/16/2019-07/31/2019	\$42,570.00	210	211	38	38	\$42,570.00	\$62,570.00	N/A
			08/01/2019-10/10/2019	\$26,050.00	138	145	21	21	\$26,050.00	\$26,050.00	N/A
			Amendment 1 08/01/2019-10/10/2019	\$1,500.00	6	6	0	0	\$1,500.00	\$1,500.00	N/A
			Amendment 2 08/01/2019-10/10/2019	\$1,005.00	7	7	0	0	\$1,005.00	\$1,005.00	N/A
			10/11/2018-12/10/2019	\$10,075.00	55	56	12	12	\$10,075.00	\$10,075.00	N/A
Green for Ward 7	\$20,000.00	11/22/2019	07/30/2019-10/30/2019	\$12,390.00	98	106	0	0	\$12,390.00	\$32,390.00	N/A
Total FEP Payout	\$140,000.00			\$441,476.75	2580	2683	688	675	\$487,857.15	\$627,857.15	

- a. **Have any Fair Elections certifications been revoked by OCF, to date? Of those revoked, were any appealed, and if so, what was the outcome? Were all funds properly remitted?**

RESPONSE:

To date, there have been seven (7) candidates certified as participating candidates in the Fair Elections Program and none of the certifications have been revoked by the OCF.

- b. **Has any candidate seeking certification/participating candidate received a contribution from a Fair Elections Committee (“FEC”)? If so, which candidate(s), which FEC(s), and in what amount(s)?**

RESPONSE:

No candidate seeking certification/participating candidate has received a contribution from a Fair Elections Committee (“FEC”). To date, there have been no Fair Elections Committees registered with the Office of Campaign Finance.

- c. **Has any candidate seeking certification/participating candidate contributed their own personal funds or those of their immediate family? If so, which candidate(s), from which immediate family member(s), and in what amount(s)?**

RESPONSE:

The following candidates seeking certification/participating candidates have contributed their own personal funds or those of their immediate family, as listed below, by name of candidate, identifying family member(s) and amount(s):

Name of Candidate	Family Member	Amount
1.Kishan For DC 2020	Kishan Putta	\$268.05
2.Daniel Hernandez for Ward 2	Daniel Hernandez	\$1,900.00
	Daniel Hernandez	\$250.00
	Daniel Hernandez	\$113.71
	Daniel Hernandez	\$70.00
	Elizabeth Choate	\$50.00
3.Markus for DC	Markus Batchelor	\$36.51
	Markus Batchelor	\$18.01
	Markus Batchelor	\$55.12
	Markus Batchelor	\$200.34
4.Committee to Elect Renee Bowser	Renee Bowser	\$50.00
	Renee Bowser	\$50.00
5.Jordan Grossman for Ward 2	Debra Elias	\$50.00
	Debra Elias	\$2,450.00
6.John Fanning for Ward 2	Terrence Fanning	\$20.00
	John Fanning	\$200.00
7.Jeanee Lewis George	Jeanee Lewis George	\$2,500
8.Committee to Elect Stuart Anderson 2020	Shavohn Anderson	\$50.00
	Tyrina Anderson	\$5.00
	Stuart Anderson	\$1,000.00
9.Green for Ward 7	Dominiqua Eldridge	\$20.00
10.Patrick Kennedy for Ward 2	Patrick Kennedy	\$1,316.96
	Thomas Kennedy	\$50.00
	Sean Kennedy	\$50.00
	Shirley Kennedy	\$50.00
	Wanderly C Kennedy	\$50.00

- d. Has any candidate seeking certification/participating candidate accepted funds other than those authorized under D.C. Code § 1-1163.32f? If so, please elaborate upon what was accepted and how it was subsequently disgorged by the candidate.

RESPONSE:

No candidate seeking certification/participating candidate accepted funds other than those authorized under D.C. Code § 1-1163.32f.

- e. Has any participating candidate made an unauthorized expenditure under D.C. Code § 1163.32f(d)? If so, please elaborate.

RESPONSE:

No participating candidate has made an unauthorized expenditure under D.C. Code § 1163.32f(d).

- f. How much public funding has OCF disbursed to participating candidates in FY19 and FY20, to date? How much does OCF anticipate disbursing in the remainder of FY20? Based on the rate of disbursements to date, how much does OCF anticipate needing for base amounts and matching payments in FY21 and FY22?**

RESPONSE:

In FY19, OCF disbursed Three Hundred Sixty- Eight Thousand and Six Hundred Fifteen (\$368,615.10) dollars and Ten Cents, in public funding to five (5) participating candidates; and to date, OCF has disbursed Three Hundred Sixty-Six Thousand and Two Hundred Seventy - One (\$366,271.65) dollars and Sixty-Five Cents, in public funding to participating candidates for FY20. The OCF anticipates disbursing (\$3,571,413) in public funding to participating candidates in the Fair Elections Program, during the remainder of FY20.

Based on the rate of disbursements to date, OCF anticipates needing \$21,496,790.80 for the 2022 Election Cycle for base amounts and matching payments for the Fair Elections Program, as more fully detailed in the OCF Response to Question No. 11. It is projected at a minimum \$20,157,225.40 will be required for matching payments, and \$1,410,000.00 will be required for base amount payments, for the total sum of \$21,567,225.40 to support the Elections Fund during the 2022 Election Cycle.

Fiscal Year 2021 begins on October 1, 2020, and the 2020 Election Cycle ends on November 3, 2020, the day of the General Election (with less than thirty-five (35) days remaining for participating candidates to collect qualified small dollar contributions for match, where the cap has not been met). For the 2020 Election Cycle, the estimated costs for the FEP Program were split as follows: 17% (\$550,000) in FY19; 73% (\$3,181,272) in FY20; and 10% (\$415,141- The MARC includes an adjustment of \$665,000 based on the OCFO's fiscal impact statement estimated FY 21 cost of implementing the Fair Elections Act in FY21). The Agency also requested that the \$21,496,790.80 needed for the 2022 Election Cycle for Base Amount and Matching Payments required under the Fair Elections Act for the 2022 Election Cycle, split across Fiscal Years 2021(17% - \$3,666,428.32), 2022 (73% - \$15,744,074.54), and 2023 (10% - \$2,156,722.54) by percentage based on projected activity in each Fiscal Year.

g. What implementation issues, if any, has OCF encountered with the Program?

RESPONSE:

During Fiscal Year 2019, the Fair Elections Program Division (FEP) created a series of six (6) forms and, or notices to be sent to the registered and, or participating candidates, informing their respective committees of their compliance, or noncompliance with the requirements and mandates of the Program and the status of the qualification process seeking certification as a participating candidate, in order to receive matching funds and the corresponding base payment, for the prospective elective seat they are seeking. The list of forms are: Recommendation to the Director for Matching Payments to a Certified Participating Candidate in the Fair Elections Program; Recommendation to the Director for Certification of a Participating Candidate in the Fair Elections Program With Deficiencies; Fair Elections Program Division Recommendation for Notice of Ineligibility for Certification and of Deficiencies; Status Report for Candidates Who Have Indicated Intent to Seek Certification in the Fair Elections Program; Recommendation to the Director For Matching Payments to a Certified Participating Candidate in the Fair Elections Program; and Fair Elections Program's Notice of Deficiencies.

To date, a combined total of fifty four (54) mandatory, optional and Amended Receipts and Expenditures Reports ("Reports") have been filed by registered and participating candidates, and their respective committees, under the Fair Elections Program on July 31, 2019, the first Mandatory filing; August 31, 2019, Optional filing; September 30, 2019, Optional filing; October 10, 2019, Mandatory filing; October 31, 2019, Optional filing; December 10, 2019, Mandatory filing; and the January 10, 2020, Optional filing. January 31, 2020 is the next Mandatory filing date.

The Agency has encountered the following issues in the implementation of the Fair Elections Program:

- a. **Password Access.** A few candidates were unable to access the e-filing system using their initial assigned password. In response, the OCF reissued the password. Once received, the candidates were able to access the e-filing system, without further issue.

- b. **Upload of Documents.** During the filing of Receipts and Expenditures Reports (“Reports”), on July 31, 2019, the first filing deadline for the FEP, several candidates had difficulty uploading their supporting documents for several reasons, including the candidate did not fully understand the e-filing system and was not cognizant that the upload of the supporting documents had to correspond to a specific individual contribution. This issue was resolved through further instruction. Occasionally committees uploaded the supporting documentation in the wrong section of the report, which resulted in a disruption of the continuity of the review of the Reports and the denial of certain contributions, thus, creating a deficiency and an inability to qualify for matching funds. This was corrected through the resubmission of documents.
- c. **Verification of Contributor Information.** The verification and approval of small dollar contributions for match is dependent upon the submission of complete supporting documentation by the candidate for each contribution. The Receipt and Affirmation Statement For Contributor form (“Receipt and Affirmation Statement”), also known as the contributor’s card (Contributor’s Card”) must contain the Affirmation Statement of the Contributor. Several issues arose because the language of the Affirmation Statement was not included on the Receipt and Affirmation Statement form where candidates selected the services of a third-party vendor for record management for campaign contributions, such as Act Blue, et al, and the vendor was not familiar with the reporting requirements of the Fair Elections Program, in comparison to the records generated for the traditional program. In these instances, although the candidates utilized the services of the same vendor, Act Blue, different outcomes, were also realized, often resulting in incomplete documentation for the individual Contributor’s Card, or the absence of the Affirmation Statement of the Contributor. The Office of Campaign Finance advised those candidates, whose Contributor’s Cards did not comply with the requirements of the Fair Elections Program, to contact the vendor and be specific about the inclusion of the exact data for compliance with the Fair Elections Program. Notwithstanding, it should be noted all FEP candidates were

given at the outset samples of acceptable and conforming Contributor's Cards and advised to instruct the vendor to conform with the sample forms. However, this is a new Program, with a learning curve for all involved. This matter was rectified after several meetings and telephone calls with the respective treasurers of the non-compliant campaigns.

- d. **Failure to Submit Supporting Documentation.** Some candidates failed to submit the required documentation with their Financial Reports, unless and until a Request For Additional Information (RFAI) issued, following the desk review of the Report by the OCF, Fair Elections Program Division. This practice results in a delay of the review and a resulting deficiency for the candidate who is attempting to qualify for matching funds. A repeated failure can result in a denial, which requires a written explanation by the Director of the OCF. The failure to provide supporting documentation occurred in two cases. In the first matter, the candidate persisted in failing to provide essential documents for verification and after repeated attempts advising the committee to come into conformance, a referral to the Office of General Counsel was recommended by the Program Manager. In the other matter, the candidate who failed to file a Report was referred to the Office of General Counsel, for appropriate action.
- e. **Outstanding Fines for Violations of the Campaign Finance Act.** In two (2) instances, penalties assessed against candidates from previous campaigns in an election cycle under the traditional campaign program remained unpaid. Because the fines and or penalties remained outstanding despite instructions to resolve these matters, the candidates' campaigns in the Fair Elections Program were suspended and referred to the Office of the General for appropriate action. The Fair Elections Program Division conducts an initial conflict check for potential candidates registering with the Fair Elections Program to identify all individuals with outstanding fines and or penalties, and, if warranted, an admonishment issues to satisfy the debt before registering with the Fair Elections Program.

- f. **Excessive Contributions.** On one occasion two committees accepted contributions that exceeded the qualified small dollar donation amount of \$50.00 for the Ward Council office they are seeking. These excessive contributions were flagged by the e-filing system and were brought to the attention of the Fair Elections Program audit staff. The Fair Elections Program audit staff conducted a thorough review and audit of the Reports to identify all excessive contributions. The committees were notified to refund all excessive contributions to the respective contributors. In these instances, the excessive contributions appeared to have been inadvertent. The excessive contribution amounts were refunded voluntarily.
- g. **Contributions or Loans by the Candidate or Family Members.** Due to a misinterpretation of the provision of the Fair Elections Act governing contribution limits applicable to the candidate or members of their family, one (1) committee accepted an excessive amount over the authorized \$2,500.00 contribution limit, in the aggregate, from immediate family members. The application of the Act was clarified through an interpretive opinion issued by the Office of the General Counsel. The committee voluntarily refunded all excessive contributions received from immediate family members.

i. Are the e-filing upgrades complete?

RESPONSE:

During Fiscal Year 2019, the Office of Campaign Finance completed and launched the first phase of the development of the E-Filing and Disclosure System (System) for the Fair Elections Program (FEP) on July 26, 2019. (Requisition 116441 – FY 19 FEP E-Filing System: Purchase Order 608528 - \$160,533.57) The FEP E-Filing System enables the online submission of financial reports at the OCF Web Site by the candidates and committees who have registered in the Fair Elections Program, and the real time imaging of the financial reports for public view by the residents of the District of Columbia. The System allows candidates in the Fair Elections Program to upload supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications), with data entry/excel upload of contribution and

expenditure information, with the Receipt/Contributor and Expenditure Schedules; and provides a registration module for FEP candidates. FEP Forms were made available at the OCF Website on March 18, 2019 for pre-population and download as follows: the Registration Form (OCF FEP Form 1); the Affidavit of Candidate and Treasurer Form (OCF FEP Form 2); and the Receipt and Affirmation Statement for Contributor Form (OCF FEP Form 3). The administrative modules of the FEP E-Filing System assist the OCF Staff with the verification of contributor information, and the pre-certification and post certification qualification of Qualified Small Dollar Contributions, and the calculation of matching payments to determine when eligibility for certification as a participating candidate is achieved or the matching cap is reached.

The first candidate registered in the Fair Elections Program on April 7, 2019, and all candidates who registered in the Program thereafter were invited for a demonstration of the E-Filing System on July 25, 2019. All FEP participants successfully filed their Reports of Receipts and Expenditures and supporting documentation online at the OCF Website on July 31, 2019, the first filing deadline for the Program. The completion of the FEP E-Filing System was a major milestone in the implementation of the Fair Elections Program. During Fiscal Year 2019, the Office of Campaign Finance certified five (5) candidates into the Fair Elections Program and directed the disbursement of Base Amount and Matching Payments in the total sum of \$368,615.00.

During FY 20, to date, the Office of Campaign Finance on November 4, 2019 initiated Requisition No. K140026 (\$133,764.00 approximate cost), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. The Agency has been in constant contact with the Office of the Chief Technology Officer and the Office of Contracting and Procurement concerning the requirements of the Statement of Work for the services to be provided. This Phase will provide Reports, for public and administrative use, including the Nine (9) Month Report of the Agency following the election cycle detailing the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary contribution and expenditure reports to provide the public with the capability to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or expenditure type; administrative Failure to File and Filer

Reports; Candidate and Committee Quick Stats searchable by filing year and/or date range, which will provide the capability for the public to obtain statistical information for candidate committees based on contribution type, denomination of contribution, and will list the top ten (10) committees based on total contributions and total loans; Public Funds_Payout Report which will present online for public view the amount of public funds Fair Election candidates have received (base amounts and matching payments), in total for all committees combined as well as separately for each committee, and the amount of public funds received for each reporting period in total and per filer; Certification or revocation dates of candidates under the Fair Elections Program to display for the public the date of certification or revocation for each candidate; and Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees to enable the search of contributions by one or more of the following, recipient, report name (including filing year), amount (with value range), date (with date range), contributor name, contributor address (by city, state, zip code), and contribution type (cash, check, credit card, etc.): and expenditures by one or more of the following, payor, report name, amount (with value range), date (date range), payee name (individual, business), payee location (by city, state, zip), and expenditure type (based on Schedule B of the R&E Report).

In addition, public search features will be developed for the search of Complaints and Final Orders/Informal Hearing Orders/Final Audits by type of order or audit, and will be specific to the committee as a part of the committee's history; Contributions by Geography with the capability to search contributions received by a candidate's committee based on the D.C. Zip Codes of the contributor; and Registration Disclosures, which will provide a list of all registered Fair Election Committees for the public to review, with information for each committee regarding the date of registration; the listing of chairperson and treasurer; financial reports filed; and any audits or orders issued to the committee. An Excel Upload feature will be developed with the ability for the filer to upload an excel spreadsheet of their contributions and expenditures. Flagged Contributions Reports will be created to enable the OCF to run reports for all filer types identifying committees that have received excessive contributions (in the aggregate). Searches available will include researching excessive contributions by filer type, filing year and report

name. Excessive contributions will be able to be grouped by contributor name; similar sounding names; similar spelled names; and contributor address.

Further, the System administratively will have the capability to create reminder letters and non-compliance letters, with the applicable mailing labels for mass mailings, and formatted to be emailed to the candidate/treasurer of each committee and for text notification; to run reports listing committees that have registered with OCF under the Fair Elections Program, grouped by filer type, election year and registration documents filed; manage reporting periods and the coverage dates for each report; identify the use by committees of the excel upload feature to file reports, will identify which template (report schedule) is imported, import date and time, total number of records entered and imported, and number of invalid records and valid but not imported records; within the registration module for the committee, provide a checkoff to identify whether a candidate has or has not attended a required entrance conference, and generate from the data entered an attendance and non-attendance list; manage the various covered offices under the Fair Elections Program, and assign the respective applicable election year(s) and contribution limits for each; manage and set the election (general, primary, and special) dates for applicable covered offices as mandated by law; and create reporting coverage dates for specific committees, with the capability to control the floating or optional filing dates for a committee so that it pairs up correctly with its required filing dates.

Last, the System will enable the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement will be automatically emailed to the filer for signature along with a link for the filer to create login information. The filer will also have the ability (Multiple login – filer (i.e., the candidate) to provide access for different users to data enter information for reports by creating and managing specific login information for the user. The OCF will be provided with a list of those users.

During the interim, the Office of Campaign Finance will publish at the OCF Website Charts and Lists, which will be updated monthly, of the candidates certified or seeking certification in the Fair Elections Program for each Election scheduled in Calendar Year 2020, with the amounts of matching and base amounts disbursed, in total and to each candidate, and the dates of registration

and certification. A listing will also be provided for the candidates registered in the Traditional Campaign Finance Program.

j. How has the agency conducted outreach and community engagement regarding the Program? What further plans does the agency have to do so in the remainder of FY20? FY21?

RESPONSE:

The Office of Campaign Finance expanded the OCF Educational Program to fully introduce the Fair Elections Program, established by D.C. Law 22-94, the “Fair Elections Amendment Act of 2018,” effective May 5, 2018. The Agency created educational materials about the Fair Elections Program, which are available for review at the OCF Website, and for dissemination to the public onsite in the Office of Campaign Finance, and at community events. The materials include an informative and concise pamphlet that explains the Fair Elections Program, how it works, who is eligible to participate and when, titled the “Public Financing Program – Thinking of Running For Office in the District of Columbia? You May Qualify for Public Funding”; PowerPoint presentations offering an analysis of the Fair Elections Amendment Act of 2018; and brochures titled “The District of Columbia’s Fair Election Process”, and “Fact Sheet for the Fair Elections Program during the 2020 Election Cycle”. The Brochure titled the “Public Financing Program – Thinking of Running For Office in the District of Columbia? You May Qualify for Public Funding” was forwarded to DCTV on May 10, 2019 for posting on DCTV’s Bulletin Board Monday through Friday (10:00 am – 11:00 am) and on Sunday (9:00 am – 11:00 am). The Bulletin Board provides information on local programs and events. On May 10, 2019, the Agency confirmed a 30 second Public Service Announcement on the Fair Elections Program to WTOP FM Radio for dissemination for six (6) months to the public; and on June 26, 2019, a Public Service Announcement was recorded by the Fair Elections Program Manager and aired on the DC Cable Channel 16, beginning July 14, 2019, through January 5, 2020. The Agency has requested and received confirmation on January 24, 2020 of the continued airing of the PSA on WTOP; and requested the continued airing of the PSAs on DCTV and the OCF Brochure on the DCTV’s Bulletin Board through the November 3, 2020 General Election.

The Office of Campaign Finance established the Advisory Neighborhood Commission (ANC) Educational Outreach Initiative to reach a wider audience for the dissemination of information

about the new Fair Elections Program. The Office of Campaign Finance partnered with the Office of Advisory Neighborhood Commissions to request the inclusion of the OCF on the public meeting agendas of the 40 ANCs, which consist of the 296 Single Member Districts, located in Wards 1 through 8, to introduce the Fair Elections Program to the community. By email dated March 14, 2019, Gottlieb Simon, the Executive Director of the Office on Advisory Neighborhood Commissions, notified all ANC Chairpersons that the OCF would be in contact to tell them about the new Fair Elections Program. Thereafter the Agency requested by email directed to the ANC Chairpersons to be placed on their meeting agendas to inform their constituents about the FEP. From April 2019 to September 2019, the Office of Campaign Finance successfully presented the highlights of the new Fair Elections Program at the public meetings of 19 ANCs throughout the District of Columbia. The ANC Educational Outreach Initiative is ongoing. The Fair Elections Division also participated in the Latina Caucus Seminar on April 18, 2019, and the DC Women In Politics Symposium, at the Greater Washington Urban League on September 14, 2019.

The OCF has also incorporated the Fair Elections Education Program into its existing Public Training seminars. Those seminars include the Mandatory Entrance Conferences, monthly webinars targeting candidates and treasurers titled Understanding the Rules of the Campaign Finance Game, and the public seminars offered monthly for candidates and committees, the Constituent Services and Statehood Fund Programs, the Legal Defense, Exploratory, Inaugural, and Transition Committees, and the public. All educational materials utilized in the seminars were updated to include the Fair Elections Program. The Agency has also utilized its social media outlets, Facebook and Twitter to inform the public about upcoming presentations in the community or onsite trainings about the Fair Elections Program. The 2019 Training Calendar was published at the OCF Website on December 14, 2018 and included Seminars specific to the Fair Elections Program. The 2020 Training Calendar was published at the OCF Website on January 28, 2020, and offers seminars on the Fair Elections Program, and introduces training on the FEP E-filing System. The Agency continued to meet with both representatives of member organizations of the D.C. Fair Elections Commission and District residents who were strong advocates of the D.C. Law 22-94, the “Fair Elections Amendment Act of 2018,” effective May 5, 2018, and invited to participate in the “Planning Committee” organized by the OCF to develop policy recommendations in certain areas to assist with the implementation of the Fair Elections

Program. The meetings were held on February 28, 2019, March 14, 2019, April 25, 2019, August 29, 2019, and October 24, 2019, and the OCF Managers have met individually with members of the Planning Commission. Further meetings will be scheduled during FY20 to discuss the development of the Debate Program, and future community educational outreach efforts. The next Planning Committee meeting for the Fair Elections Program is scheduled for Thursday, February 20, 2020, at 2:00pm.

For the remainder of FY20, the OCF, Fair Elections Program plans will continue to conduct outreach and community engagement, and by targeting those neighborhood ANCs, which the Program did not visit in the FY19, as well as include speaking engagements at national and local organizations, and civic associations throughout the community. The Fair Elections Program Division will record a new Public Service Announcement with WTOP FM Radio and DCTV Cable to inform District residents of the Debate Program. The Agency published on January 24, 2020 at the OCF Website, a new Fair Elections Program Fact Sheet for the June 16, 2020 Special Election for the Ward 2, Council Member seat.

The Office of Campaign Finance will also develop a Debate Program to conduct debates in city-wide elections where the elections are contested, involve more than one participating candidate in the Fair Elections Program, or any candidate who has qualified for ballot access, is not a participating candidate, and has consented to participate in a debate. The first potential debate will be for citywide candidates participating in the Fair Elections program in the June 2, 2020 local Primary Election. The debates will provide voters with the opportunity to hear directly from candidates on issues that are important to residents of the District of Columbia. The Program will develop relationships with independent outside organizations to co-sponsor the mandatory debates for city wide elections.

For FY21, the OCF, Fair Elections Program will continue to conduct outreach and community engagement that is already in place, the Agency will target neighborhood ANCs to provide information about the 2022 Election Cycle, as well as contact national and local organizations, and civic associations for the scheduling of speaking engagements throughout the community. The Fair Elections Program Division will record Public Service Announcements for the 2022 Election Cycle; produce a new Informational Sheet for the 2022 Election Cycle and arrange once

again with DCTV Cable for the appearance of the Brochure on the DCTV Bulletin Board for the 2022 Election Cycle. The FEP will continue to foster relationships with organizations to develop co-sponsors with the OFC for the mandatory debates for city wide contested elections.

- k. Has OCF hired a Chief Technology Officer for the Program? If not, when does the agency expect to do so?**

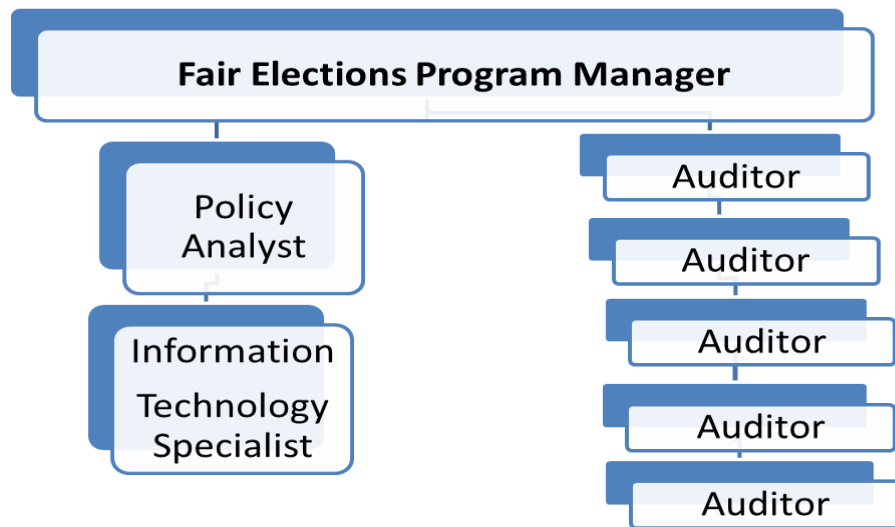
RESPONSE:

The OFC hired Paul Auwor as the Chief Technology Officer position for the Fair Elections Program Division on March 29, 2019.

- l. Please provide an organizational chart for the Program staff, if not already included in a response above.**

RESPONSE:

Fair Elections Program Division



LIST OF OCF ATTACHMENTS

FEBRUARY 07, 2020

**RESPONSES TO QUESTIONS OF THE
COMMITTEE ON THE
JUDICIARY & PUBLIC SAFETY**

COUNCIL OF THE DISTRICT OF COLUMBIA

List of OCF Attachments

February 2020

Responses to Questions of the Committee on the Judiciary & Public Safety Council of the District of Columbia

ATTACHMENT A – February 2020 Office of Campaign Finance Organizational Structure and Staffing Chart, and Organizational Charts for each OCF Division (Response to Question No. 1, General Questions)

ATTACHMENT B – February 2020 Office of Campaign Finance Functional Organization Chart (Response to Question No. 1, General Questions)

ATTACHMENT C – February 2020 Schedule A for the Office of Campaign Finance (Response to Question No. 2, General Questions)

ATTACHMENT D – List of Travel Expenses by Employee for FY19 and FY20, to date (Response to Question No.4 (b), General Questions)

ATTACHMENT E – Chart of FY19 and FY20, to date, Memoranda of Understanding (Response to Question No. 5, General Questions)

ATTACHMENT F – Chart of FY19 and FY20, to date, Intra-district Transfers (Response to Question No. 7, General Questions)

ATTACHMENT G – List of OCF Purchase Card Spending for FY19 and FY20, to date (Response to Question No. 9, General Questions)

ATTACHMENT H – Chart of FY19 and FY20, to date, Reprogramming (Response to Question No. 12, General Questions)

ATTACHMENT I – List of OCF Contracts for FY19 and FY20, to date (Response to Question No. 15, General Questions)

ATTACHMENT J – FY19 Performance Plan and Report for the Office of Campaign Finance (Response to Question No. 24, General Questions)

ATTACHMENT K – FY20 Performance Plan for the Office of Campaign Finance (Response to Question No. 25, General Questions)

ATTACHMENT L – Copy of E-Mail dated January 31, 2019 providing links to the OCF 2019 Biennial Report (Response to Question No. 28, General Questions)

ATTACHMENT M – List of Top 25 Overtime Earners in FY19 and FY20, to date (Response to Question No.29, General Questions)

ATTACHMENT N – List of Names of Employees placed on Administrative Leave in FY19 and FY20, to date, (Response to Question No. 32, Agency Operations)

ATTACHMENTS

FEBRUARY 07, 2020

**RESPONSES TO QUESTIONS OF THE COMMITTEE ON THE
JUDICIARY & PUBLIC SAFETY**

COUNCIL OF THE DISTRICT OF COLUMBIA

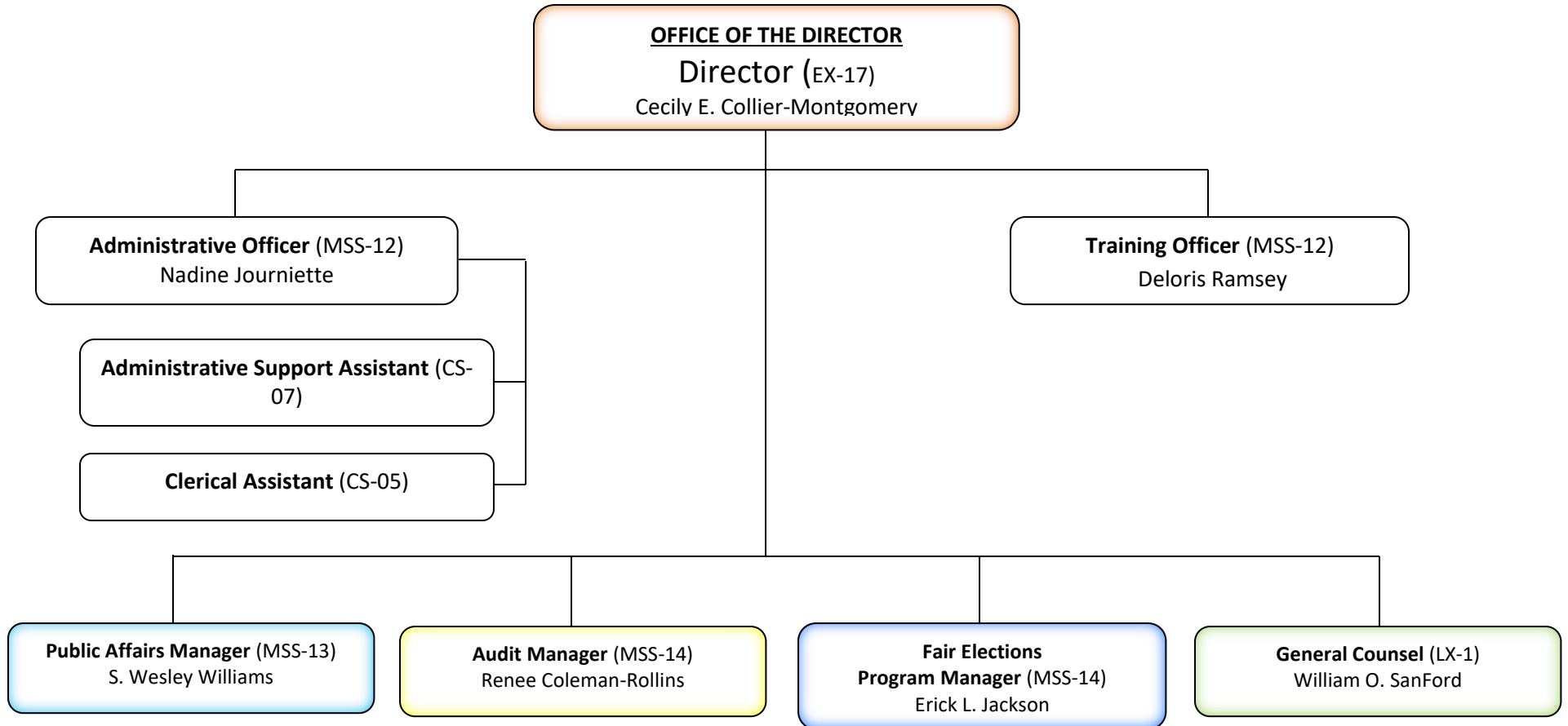
ATTACHMENT A

February 2020 Office of Campaign Finance

ORGANIZATIONAL STRUCTURE AND STAFFING CHART AND ORGANIZATIONAL CHARTS FOR EACH OCF DIVISION

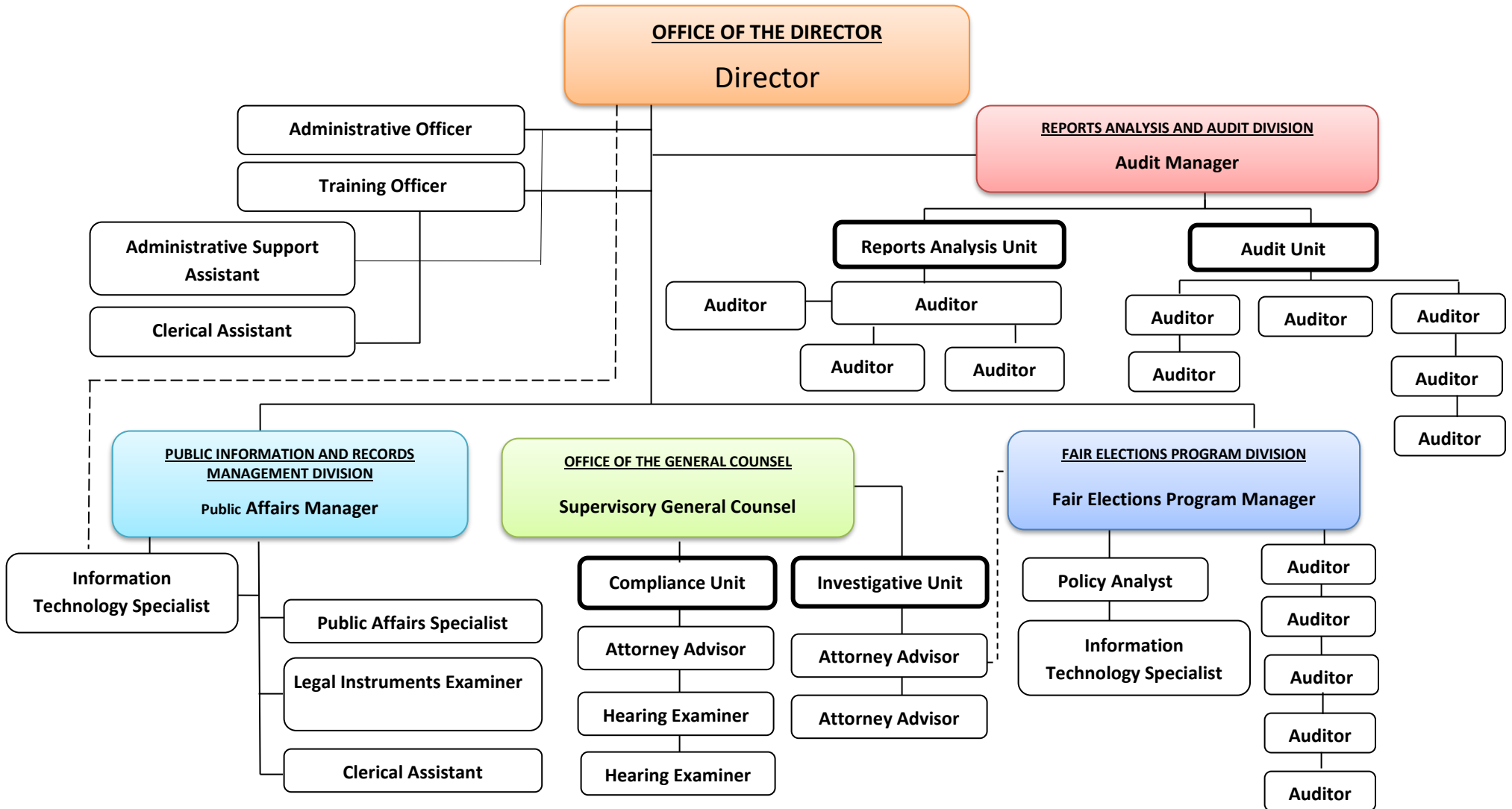
(Response to Question No. 1, General Questions)

Office of the Director



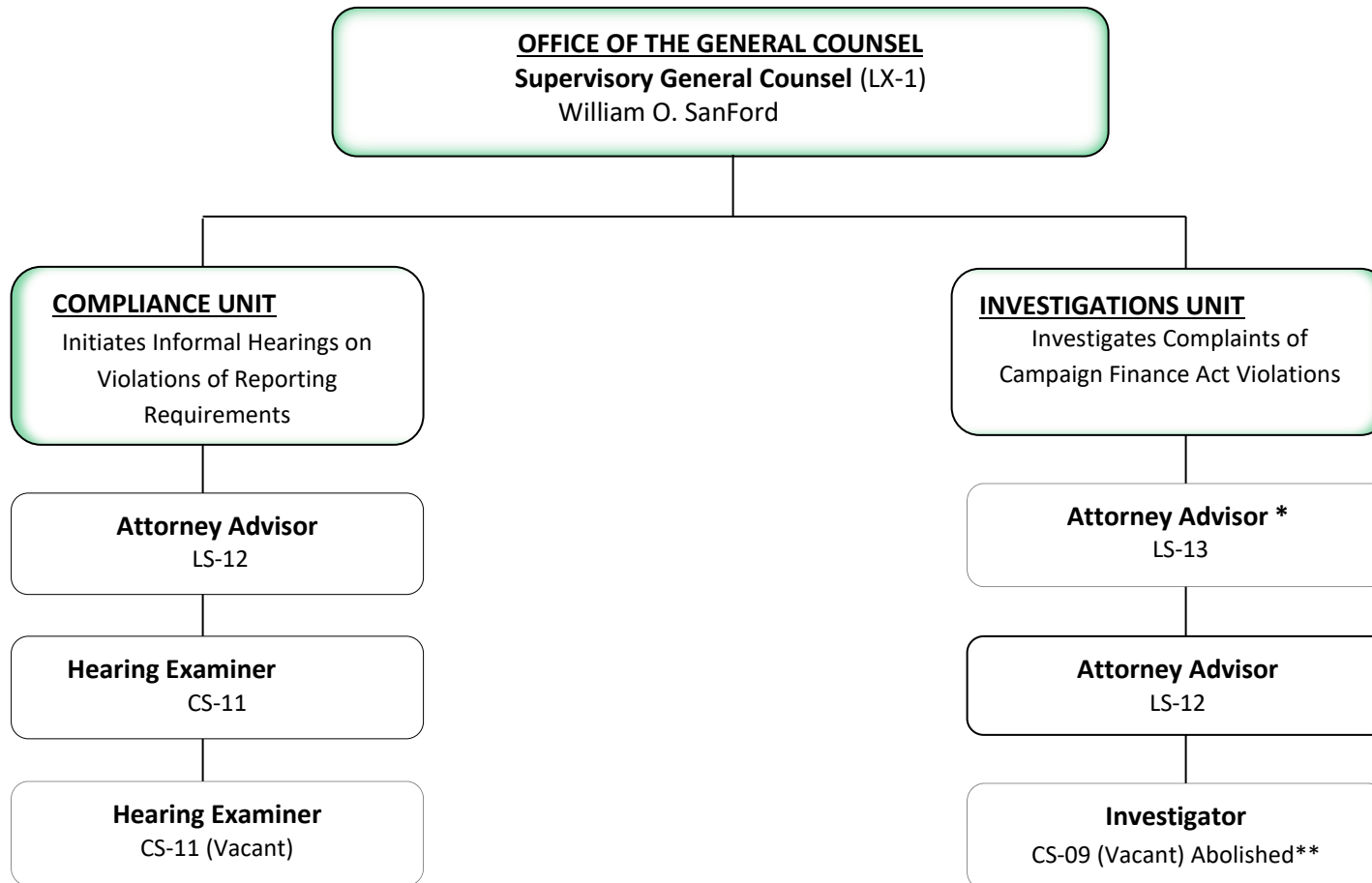
February 2020 – 5 positions

Organizational Structure and Staffing Chart



DC Office of Campaign Finance

Office of the General Counsel

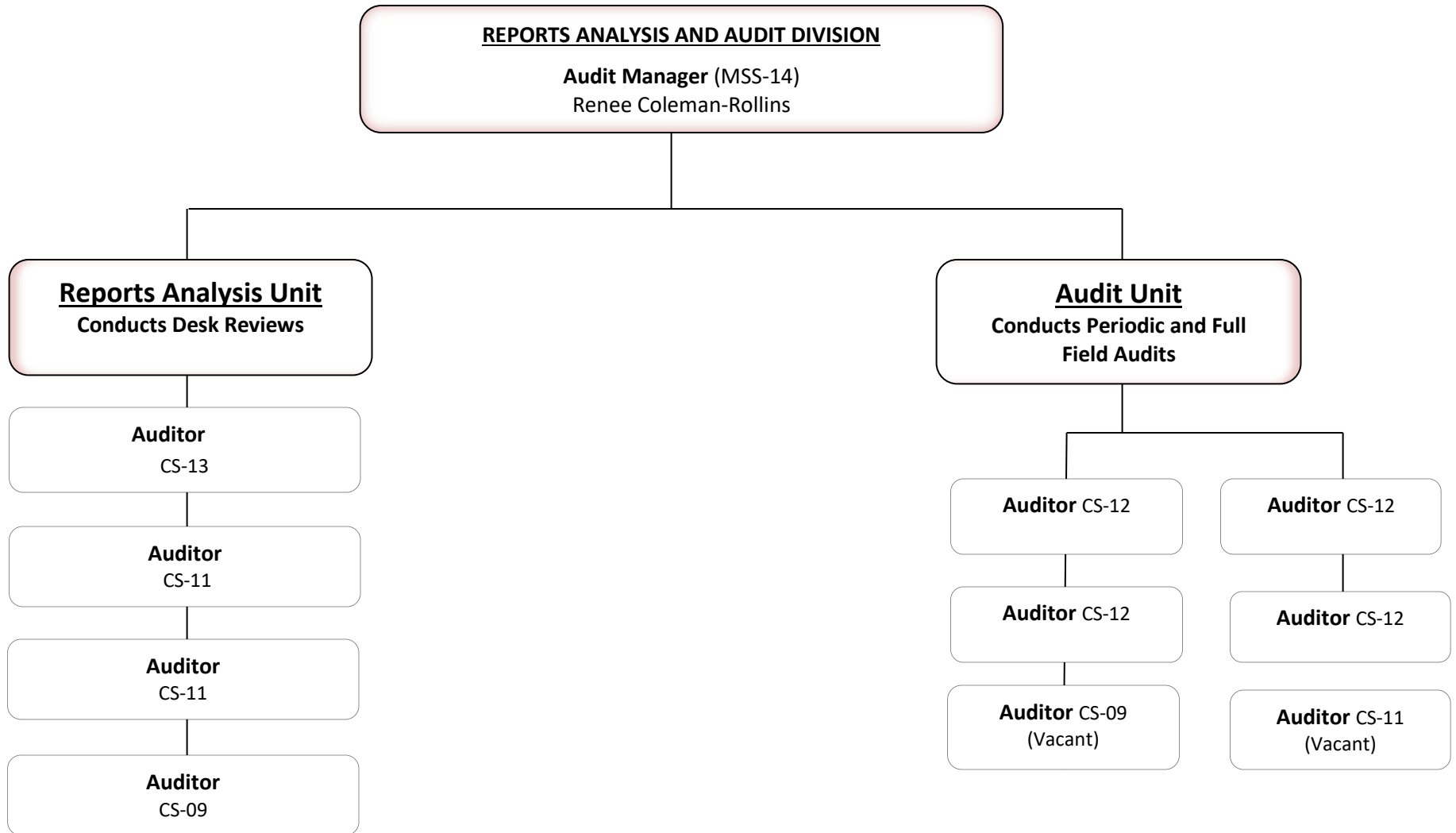


February 2020 – 6 positions (1 Vacant Positions)

* Liaison for FEP candidate guidance and policy

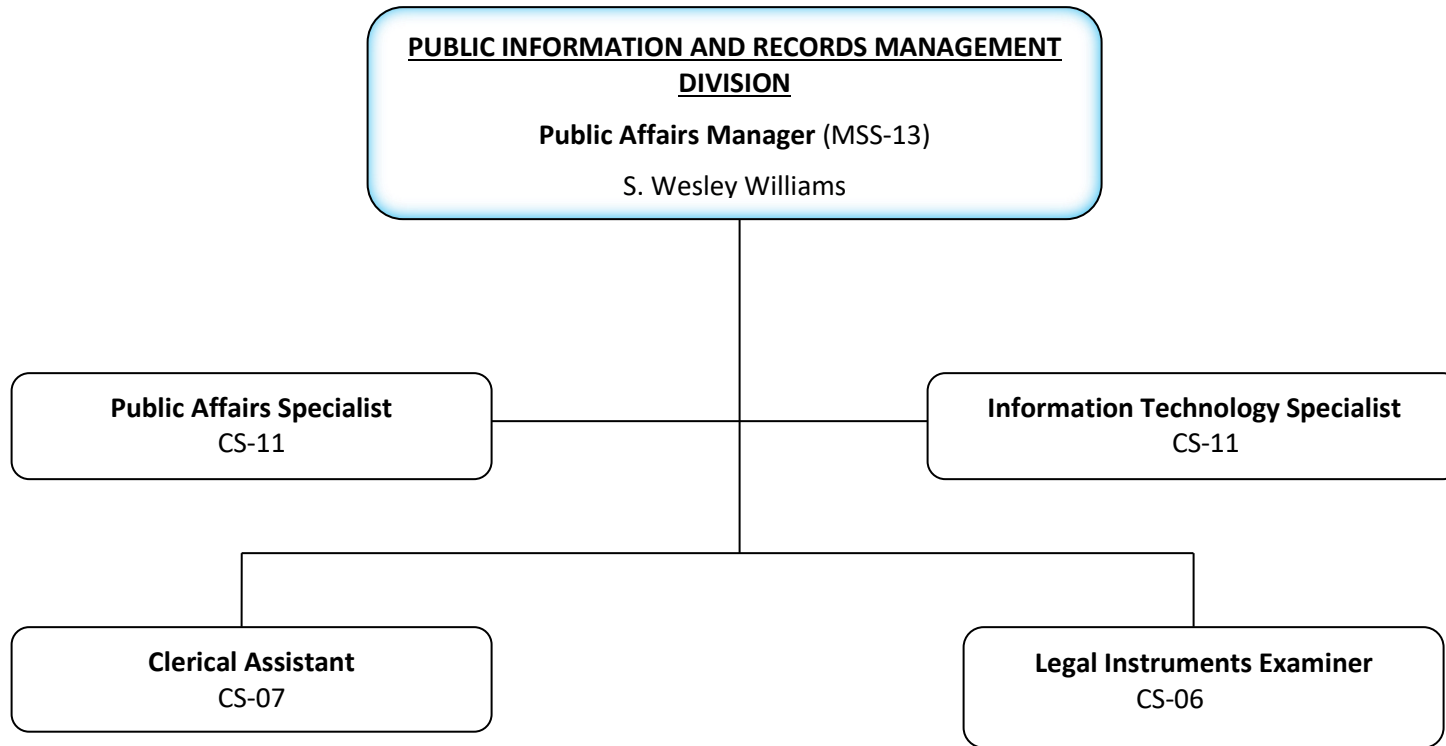
** Abolished to create Policy Advisor Position in Fair Elections Program (May 2019)

Reports Analysis and Audit Division



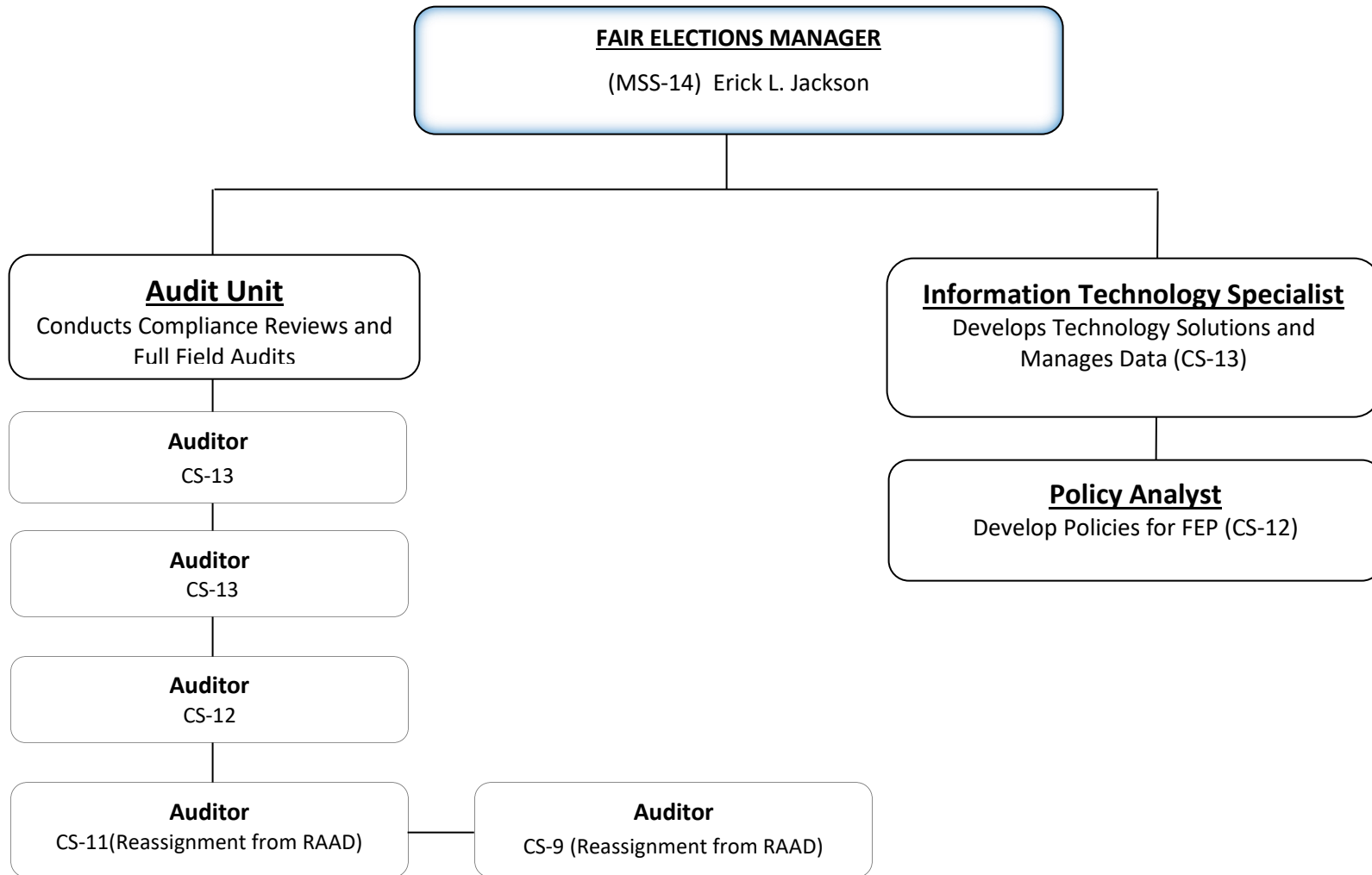
February 2020 – 11 Positions (2 vacant positions)

Public Information and Records Management Division



February 2020 – 5 positions

Fair Elections Program



February 2020 – 8 positions

ATTACHMENT B

February 2020 Office of Campaign Finance

FUNCTIONAL ORGANIZATION CHART

(Response to Question No. 1, General Questions)

Office of Campaign Finance

Functional Organization Chart

PROGRAM OPERATIONS AND LIAISON POLICIES

Program Operations
 Budget Administration
 Contract and Procurement
 HR Management /Development
 Executive Support Services
 Payroll Administration
 Information Technology Operations
 Web Site Management
 Educational Outreach Program

OFFICE OF THE DIRECTOR

Administers & Enforces the Campaign Finance Laws of the District of Columbia, Quality Control Management & Policy Development

FAIR ELECTIONS PROGRAM DIVISION

Verification of Contribution Reports, Investigative and Full Field Audits of the campaign operations of Candidates, Principal Campaign Committees and Fair Elections Committees participating or seeking certification in the FEP
 Base Amount and Matching Payment Authorizations
 Educational Outreach and Liaison with FEP Candidates and Treasurers
 Coordination of the Debate Program
 Statistical Reports on the FEP Program and FOIA Requests
 RFAI Program for registrants in the FEP Program
 Referrals to OGC for Non-Compliance and Appeals before BOE from Denial Actions
 Site visits to Campaign Offices, Early Vote Centers and Election Precincts
 Remission of Funds and Equipment

PUBLIC INFORMATION AND RECORDS MANAGEMENT DIVISION

Mandatory Electronic Filing Program
 Web Site Maintenance and Report Creation
 Help Desk for EFS and Web Site
 Document Intake, Data Entry, and Imaging
 Media Liaison, Public Information and Records Management, and FOIA Requests
 Pre-Notification and Failure to File Programs for all Filer Groups in the traditional Campaign Finance Program and in the Fair Elections Program*
 Biennial Report of Receipts and Expenditures
 Educational Outreach
 Referrals to OGC for Non-Compliance
 *Filer Groups in the traditional Campaign Finance Program include: Political Committees**, Political Action Committees; Independent Expenditure Committees; Constituent Service and Statehood Fund Programs

REPORTS ANALYSIS AND AUDIT DIVISION

Desk Reviews and Investigative, Full & Periodic Field Audits of Financial Reports for all Filer Groups* in the traditional Campaign Finance Program
 Educational Outreach and Technical Assistance to the Public
 Statistical Reports and FOIA Requests
 RFAI Program for all Filer Groups*
 Referrals to OGC for Non-Compliance
 Site Visits to Campaign Offices, Early Vote Centers, and Election Precincts
 Committee/Program Terminations
 *Filer Groups in the traditional Campaign Finance Program include: Political Committees**; Political Action Committees; Independent Expenditure Committees; Constituent Service and Statehood Fund Programs

OFFICE OF THE GENERAL COUNSEL

Legislative Recommendations
 Rulemaking
 Investigations and Informal Hearings
 Legal Assistance to Director and Staff
 Educational Outreach Coordination
 Mandatory Entrance Conference Program
 Intergovernmental Liaison
 Interpretative and Expedited Opinions
 BOE Enforcement of OCF Orders
 OCF Forms Management
 FOIA Requests Coordination
 OCF Complaints before BOE
 Appeals from OCF Orders
 Site Visits to Campaign Offices, Early Vote Centers, and Election Precincts

ATTACHMENT C

February 2020

SCHEDULE A FOR THE OFFICE OF CAMPAIGN FINANCE

(Response to Question No. 2, General Questions)

FY20 SCHEDULE A, Current as of February 12, 2019

List by Program and Activity of Positions by Title, Employee Name, Grade, Step, Series, Salary, Fringe Benefits, EOD, and Whether the Position is Vacant or Frozen

I. Agency Management Program

Title / Program / Activity	Name	Grade	Step	Series	Salary	Fringe Benefits	EOD	Status Continuing/ Term/ Temporary/ Contract/ Vacant/ Frozen	Recruitment/ Activity
OFFICE OF THE DIRECTOR									
Director Program 2000/ Activity 1015	Collier-Montgomery Cecily E.	17	0	0087	187,066.72	43,679.92	08/02/96	Continuing	
Training Officer Program 1000/ Activity 1090	Ramsey, Deloris	MSS-12	0		91,660.72	21,402.78	08/12/13	Continuing	
Administrative Officer Program 1000/ Activity 1010	Journiette, Nadine	MSS-12	0	341	81,544.29	19,040.59	01/28/13	Continuing	
Administrative Assistant Program 1000/ Activity 1010	Williams, April L.	CS-07	08	303	52,549.00	12,270.19	05/17/04	Continuing	
Clerical Assistant Program 1000/ Activity 1010	Alexander, Natasha	CS-05	05	303	38,081.00	9,158.57	03/05/18	Continuing	

(5 positions)

FY20 Question #2 Responses (Cont'd)

List by Program and Activity of Positions by Title, Employee Name, Grade & Step, Series, Salary, Fringe Benefits, EOD, and Whether Position is Vacant or Frozen

II. Oversight Support Program

OFFICE OF GENERAL COUNSEL ACTIVITY									
Title/ Program/ Activity	Employee	Grade	Step	Series	Salary	Fringe Benefits	EOD	Status Continuing/ Term/ Temporary/ Contract/ Vacant/ Frozen	Recruitment Activity
Supv. General Counsel Program 2000/ Activity 2030	SanFord, William O.	LX-1	0	905	142,338.57	33,164.89	10/02/10	Continuing	
Attorney Advisor Program 2000/ Activity 2030	Muhammad, Leonard	LS-12	06	905	103,423.00	24,097.55	01/31/11	Continuing	
Hearing Examiner Program 2000/ Activity 2030	Peete, Kalvaneeta	CS-11	06	905	71,406.00	16,153.19	01/14/13	Continuing	
Hearing Examiner Program 2000/ Activity 2030	Vacant	CS-11		905	61,521.00	13,916.39		Vacant as of 10/30/18	Vacancy Announcement Closed on 02/03/19. Selection made on 09/25/19. OCF rescinded the offer.
Attorney Advisor Program 2000/ Activity 2030	Fennell, Shaunda	LS-12	02	905	89,246.00	20,794.32	09/06/16	Continuing	
Attorney Advisor Program 2000/ Activity 2030	Franklin, Austin	LS-13	03	905	109,556.00	25,526.55	01/22/19	Continuing	

(6 Positions) (1 Vacant Position)

FY20 Question #2 Responses (Cont'd)

List by Program and Activity of Positions by Title, Employee Name, Grade & Step, Series, Salary, Fringe Benefits, EOD, and Whether Position is Vacant or Frozen

REPORTS ANALYSIS AND AUDIT DIVISION ACTIVITY									
Title/ Program/ Activity	Employee	Grade	Step	Series	Salary	Fringe Benefits	EOD	Status Continuing/ Term/ Temporary/ Contract/ Vacant/ Frozen	Recruitment Activity
Auditor Manager Program 2000/ Activity 2020	Coleman, Renee	MSS-14	0	511	129,410.30	30,152.60	07/12/04	Continuing	
Auditor Program 2000/ Activity 2020	Cabbell, Kendra	CS-12	07	511	90,292.00	21,089.76	10/28/19	Continuing	Position became vacant on 01/06/19 due to Resignation. Position referred to DCHR for reclassification. Position filled on 10/28/19
Auditor Program 2000/ Activity 2020	Dix, Jermol	CS-11	01	511	61,521.00	14,334.39	03/18/19	Continuing	
Auditor Program 2000/ Activity 2020	Afoke, Olamide	CS-12	01	511	76,126.00	14,737.36	02/10/14	Continuing	
Auditor Program 2000/ Activity 2020	Wales, Mark	CS-12	04	511	83,209.00	19,387.70	05/06/13	Continuing	
Auditor Program 2000/ Activity 2020	Oliver Jr., Michael D.	CS-13	02	511	90,514.00	21,089.76	06/23/08	Continuing	
Auditor Program 2000/ Activity 2020	Vacant	CS-09	01	511	51,059.00	11,199.99		Vacant	Selection made. Offer pending
Auditor Program 2000/ Activity 2020	Ryles, Megan	CS-12	05	511	85,570.00	19,938.00	02/03/20	Continuing	Position became vacant due to promotion effective 10/13/19. Position posted to DCHR Website on 10/18/19 and Closed on 10/27/19. Interviews scheduled on 12/19/19. Selection made on 01/08/20. EOD 02/03/19
Auditor Program 2000/ Activity 2020	Tishana J. Lawrence	CS-11	01	511	61,521.00	14,334.39	03/18/19	Continuing	

Auditor Program 2000/ Activity 2020	Savage, DeAndria	CS-09	02	511	52,691.00	12,277.00	10/01/18	Continuing	
Auditor Program 2000/ Activity 2020	Vacant	CS-11	01	511	61,521.00	14,334.39		Vacant	Position vacant due to Resignation effective 01/03/20. Position forwarded to DCHR for posting for (2) weeks effective 01/13/20 through 01/22/20. Interviews 01/30/20. Selection made. Offer pending.

(11 Positions) (2 Vacant Positions)

FY20 Question #2 Responses (Cont'd)

List by Program and Activity of Positions by Title, Employee Name, Grade & Step, Series, Salary, Fringe Benefits, EOD, and Whether Position is Vacant or Frozen

PUBLIC INFORMATION AND RECORDS MANAGEMENT DIVISION ACTIVITY									
Title/ Program / Activity	Employee	Grade	Step	Series	Salary	Fringe Benefits	EOD	Status Continuing/ Term/ Temporary/ Contract/ Vacant/ Frozen	Recruitment Activity
Public Affairs Manager Program 2000/ Activity 2010	Williams III, Sidney Wesley	MS-13	0	1035	107,841.91	25,127.17	05/12/08	Continuing	
Public Affairs Specialist Program 2000/ Activity 2010	Lake, Sonya L.	CS-11	07	1035	75,360.00	17,558.88	01/18/09	Continuing	
Clerical Assistant Program 2000/ Activity 2010	Scales, Billy L.	CS-7	10	301	55,485.00	12,928.01	06/30/97	Continuing	
Legal Instruments Examiner Program 2000/ Activity 2010	McQueen, Laura	CS-6	09	950	48,789.00	11,367.84	01/12/04	Continuing	
Information Technology Program 2000/ Activity 2010	Dua, Nimmi	CS-11	08	2210	73,383.00	17,098.24	08/31/98	Continuing	

(5 Positions)

FY20 Question #2 Responses (Cont'd)

List by Program and Activity of Positions by Title, Employee Name, Grade & Step, Series, Salary, Fringe Benefits, EOD, and Whether Position is Vacant or Frozen

FAIR ELECTIONS PROGRAM DIVISION ACTIVITY									
Title/ Program / Activity	Employee	Grade	Step	Series	Salary	Fringe Benefits	EOD	Status Continuing/ Term/ Temporary/ Contract/ Vacant/ Frozen	Recruitment Activity
Program Manager Program 3000/ Activity 3010	Erick Jackson	MS-14	0	1035	129,411.26	30,152.82	01/22/19	Continuing	
Information Technology Program 3000/ Activity 3010	Awunor, Paul	CS-13	05	905	98,947.00	23,054.65	02/19/19	Continuing	
Auditor Program 3000/ Activity 3010	Abrams, Tammi	CS-11	01	1035	61,521.00	14,334.39	05/17/19	Continuing	
Auditor Program 3000/ Activity 3010	Lazo, Adriana	CS-09	01	511	51,059.00	11,896.75	07/08/19	Continuing	
Auditor Program 3000/ Activity 3010	Dufe, Eddie	CS-13	02	511	90,514.00	21,089.76	05/06/13	Continuing	
Auditor Program 3000/ Activity 3010	Hayes, Tamika	CS-13	04	511	96,136.00	22,399.69	04/01/19	Continuing	
Auditor Program 3000/ Activity 3010	Bunaro, Beruk	CS- 12	01	511	76,126.00	17,737.36	12/18/15	Continuing	
Policy Analyst Program 3000/ Activity 3010	Perry, Belinda	CS-12	01	301	76,126.00	17,737.36	07/22/19	Continuing	

(8 Positions)

ATTACHMENT D

**LIST OF TRAVEL EXPENSES BY EMPLOYEE FOR
FY19 AND FY20, TO DATE
(Response to Question No. 4 (b), General Questions)**

List of Travel Expenses by Employee for FY19 and FY20, to date

1. FY 2019 Travel Expenses

- b. A list of travel expenses, arranged by employee for FY19 and FY20, to date, including the justification for travel.

OCF Staff traveled to Philadelphia, Pennsylvania on December 9, 2018 – December 12, 2018 to attend the Council on Government Ethics Law (COGEL) conference. COGEL is a professional organization for government agencies in ethics, freedom of information, lobbying, and campaign finance. The Office of Campaign Finance is a member of COGEL. The total cost for 5 employees was **\$6,952.65**.

Cecily E. Collier-Montgomery, Director	
Cost Associated with Travel	
Description	Cost
COGEL Registration	\$600.00
Transportation (Amtrak)	\$256.00
Hotel (Marriott) 4 days, 3 nights	\$561.33
Per diem	-
Total Expenses	\$1,417.33

William SanFord, General Counsel	
Cost Associated with Travel	
Description	Cost
COGEL Registration	\$600.00
Transportation (Amtrak)	\$224.00
Hotel (Marriott) 4 days, 3 nights	\$561.33
Per diem	\$229.45
Total Expenses	\$1,614.78

Erick Jackson, Fair Elections Program Manager	
Cost Associated with Travel	
Description	Cost
COGEL Registration	\$600.00
Transportation (Amtrak)	\$256.00
Hotel (Marriott) 4 days, 3 nights	\$561.33
Per diem	\$237.50
Total Expenses	\$1,654.83

Renee Rollins, Supervisory Auditor	
Cost Associated with Travel	
Description	Cost
COGEL Registration	\$600.00
Transportation (Amtrak)	\$205.00
Hotel (Marriott) 4 days, 3 nights	\$561.33
Per diem	\$237.50
Total Expenses	\$1,603.83

Wesley Williams, Public Affairs Manager	
Cost Associated with Travel	
Description	Cost
COGEL Registration	\$600.00
Transportation (Amtrak)	\$205.00
Hotel (Marriott) 4 days, 3 nights	\$561.33
Per diem	\$213.50
Total Expenses	\$1,579.83

2. FY 2020 Travel Expenses, to date

OCF Staff traveled to Chicago, Illinois on December 15, 2019 – December 18, 2019 to attend the Council on Government Ethics Law (COGEL) conference. COGEL is a professional organization for government agencies in ethics, freedom of information, lobbying, and campaign finance. The Office of Campaign Finance is a member of COGEL. The total cost for 3 employees was **\$5,125.45**.

Wesley Williams, Public Affairs Manager	
Cost Associated with Travel	
Description	Cost
COGEL Registration	\$600.00
Transportation (Airfare)	\$313.96
Hotel (Marriott) 4 days, 3 nights	\$528.31
Per diem	\$266.00
Total Expenses	\$1,708.27

Erick Jackson, Fair Elections Program Manager	
Cost Associated with Travel	
Description	Cost
COGEL Registration	\$600.00
Transportation (Airfare)	\$410.60
Hotel (Marriott) 4 days, 3 nights	\$528.31
Per diem	\$266.00
Total Expenses	\$1,804.91

Renee Rollins, Supervisory Auditor	
Cost Associated with Travel	
Description	Cost
COGEL Registration	\$600.00
Transportation (Airfare)	\$217.96
Hotel (Marriott) 4 days, 3 nights	\$528.31
Per diem	\$266.00
Total Expenses	\$1,612.27

ATTACHMENT E

**CHART OF FY19 AND FY20, TO DATE, MEMORANDA OF
UNDERSTANDING**

(Response to Question No. 5, General Questions)

Chart of FY19 and FY20, to date, of all Memoranda of Understanding

Fiscal Year	Seller Agency	Buyer Agency	Service Description	Fund	Service Period	Total Amount
2019	OCP	CJ0	Purchase Card	100	10/1/2018-09/30/2019	\$42,241.49
	AS0	CJ0	RTS	100	10/1/2018-09/30/2019	\$568.00
	TO0	CJ0	DC-Net	100	10/1/2018-09/30/2019	\$568.00
	KT0	CJ0	Fleet Management	100	10/1/2018-09/30/2019	\$5,997.00
	BE0	CJ0	HR Services	100	10/1/2018-09/30/2019	\$15,000.00
Total						\$64,374.49
2020	OCP	CJ0	Purchase Card	100	10/1/2019-09/30/2020	\$5,000.00
	KT0	CJ0	Fleet Management	100	10/1/2019-09/30/2020	\$6,099.70
	BE0	CJ0	HR Services	100	10/1/2019-09/30/2020	\$15,000.00
Total						\$26,099.70

ATTACHMENT F

**CHART OF FY19 AND FY20, TO DATE, OF ALL INTRA-DISTRICT
TRANSFERS**

(Response to Question No.7, General Questions)

Chart of FY19 and FY20, to date, of all Intra-District Transfers

Fiscal Year	Seller Agency	Buyer Agency	Service Description	Fund	Service Period	Total Amount
2019	OCP	CJ0	Purchase Card	100	10/1/2018-09/30/2019	\$42,241.49
	AS0	CJ0	RTS	100	10/1/2018-09/30/2019	\$568.00
	TO0	CJ0	DC-Net	100	10/1/2018-09/30/2019	\$568.00
	KT0	CJ0	Fleet Management	100	10/1/2018-09/30/2019	\$5,997.00
	BE0	CJ0	HR Services (Classification, Recruitment, Personal Actions)	100	10/1/2018-09/30/2019	\$15,000.00
Total						\$64,374.49
2020	OCP	CJ0	Purchase Card	100	10/1/2019-09/30/2020	\$5,000.00
	KT0	CJ0	Fleet Management	100	10/1/2019-09/30/2020	\$6,099.70
	BE0	CJ0	HR Services (Classification, Recruitment, Personal Actions)	100	10/1/2019-09/30/2020	\$15,000.00
Total						\$26,099.70

ATTACHMENT G

**LIST OF OCF PURCHASE CARD SPENDING FOR
FY19 AND FY20, TO DATE**

(Response to Question 9, General Questions)

FY19 – FY20 P-Card Transactions (October 18 – January 20)

FY	Cardholder Name	Post Date	Trans. Amount	Merchant Name	General Purpose
		11/07/2018	1,798.93	METROPOLITAN OFFICE PR	Supplies
2019	APRIL WILLIAMS	11/15/2018	3,000.00	COUNCIL ON GOVT ETHICS	Council on Governmental Ethics Law (COGEL) is an organization that is not a CBE. Office of Campaign Finance has lawyers and auditors who will be attending a COGEL conference in Philly on December 9 - 12th. Office of Campaign Finance paid the membership & early bird fee of \$600 per attendee (600 x 5 =3000).
		11/21/2018	512.00	AMTRAK .CO32	Amtrak ticket for two employees to attend COGEL conference in Philly. These are round trip tickets.
		11/21/2018	410.00	AMTRAK .CO32	Amtrak ticket for two employees to attend COGEL conference in Philly. These are round trip tickets.
		11/23/2018	224.00	AMTRAK .CO32	Amtrak ticket for one employee to attend COGEL conference in Philly. These are round trip tickets.
		12/07/2018	2,046.00	GLOBAL PRINT MASTER	QUICK COPY REPRODUCTION AND BLUEPRINTING SERVICES
		12/10/2018	477.50	INT*IN *DISTRICT LEGAL	PROCESS SERVER
		12/11/2018	174.46	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		12/12/2018	(48.00)	AMTRAK .CO32	\$48.00 was credited back to the card because two of the employees who attended a trip, adjusted their departure time. This resulted in a cheaper travel. Receipt will be uploaded once employee returns. They are currently away, and the receipt was sent directly to their email account.
		12/14/2018	578.33	MARRIOTT PHILAD DTOWN	This receipt is for Cecily Montgomery's travel and stay at the Marriott hotel. Employee attended the COGEL conference for 4 days and 3 nights. ***Please note that the employee ordered room service in the amount of \$17.00 and a copy of the money order made payable to DC Treasury has been attached.
		12/14/2018	561.33	MARRIOTT PHILAD DTOWN	This receipt is for Renee Coleman's travel and stay at the Marriott hotel. Employee attended the COGEL conference for 4 days and 3 nights.
		12/14/2018	587.33	MARRIOTT PHILAD DTOWN	This receipt is for Erick Jackson's travel and stay at the Marriott hotel. Employee attended the COGEL conference for 4 days and 3 nights. Please note that the employee ordered room service in the amount of \$26.00 and a copy of the money order made payable to DC Treasury has been attached.
		12/14/2018	561.33	MARRIOTT PHILAD DTOWN	This receipt is for Williams Sanford's travel and stay at the Marriott hotel. Employee attended the COGEL conference for 4 days and 3 nights.
		12/14/2018	617.05	MARRIOTT PHILAD DTOWN	This receipt is for Sidney Williams travel and stay at the Marriott hotel. Employee attended the COGEL conference for 4 days and 3 nights. ***Please note that the employee ordered room service in the amount of \$55.72 and a copy of the money order made payable to DC Treasury has been attached.
		01/16/2019	160.53	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		02/27/2019	1,469.10	METROPOLITAN OFFICE PR	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT SOFTWARE
		03/04/2019	496.80	MILLER COPYING SERVICE	QUICK COPY REPRODUCTION AND BLUEPRINTING SERVICES
		03/04/2019	81.05	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		03/29/2019	81.05	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		04/03/2019	445.00	COUNCIL ON GOVT ETHICS	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED
		04/08/2019	298.00	MILLER COPYING SERVICE	QUICK COPY REPRODUCTION AND BLUEPRINTING SERVICES
		04/16/2019	1,151.50	GLOBAL PRINT MASTER	QUICK COPY REPRODUCTION AND BLUEPRINTING SERVICES

		05/01/2019	81.05	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		06/05/2019	81.06	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		06/07/2019	500.00	PUBLIC ACCESS CORP OF	Radio station announcement
		06/12/2019	3,950.81	METROPOLITAN OFFICE PR	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT SOFTWARE
		07/04/2019	81.06	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		07/18/2019	71.45	METRO STAMP AND SEAL C	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.
		07/31/2019	89.00	DC BAR	DC Bar class
		08/05/2019	758.50	BURTON ASSOCIATES	We used this vendor to install a lock on an office door. This was the original vendor that DGS used to install the locks on our doors when our suite was built. We decided to use the same vendor.
		08/05/2019	81.06	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		08/28/2019	4,737.00	SPECIAL TEES	ADVERTISING SERVICES
		09/04/2019	81.72	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		09/09/2019	4,489.00	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM EQUIPMT.
		09/13/2019	4,938.00	GLOBAL PRINT MASTER	QUICK COPY REPRODUCTION AND BLUEPRINTING SERVICES
		09/17/2019	463.50	HAINES CRISS CROSS REA	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED
		09/19/2019	81.72	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		09/19/2019	4,904.37	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM EQUIPMT.
		09/20/2019	1,168.90	METROPOLITAN OFFICE PR	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT SOFTWARE
			42,241.49		
		10/31/2019	81.72	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		11/18/2019	1,800.00	COUNCIL ON GOVT ETHICS	ORGANIZATION MEMBERSHIP
		11/19/2019	313.69	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM EQUIPMT.
		11/25/2019	313.96	SOUTHWEST	SOUTHWEST AIRLINES (COGEL Employee Travel)
		11/25/2019	528.31	MARRIOTT CHICAGO M MIL	MARRIOTT (COGEL Employee Lodging)
		11/25/2019	528.31	MARRIOTT CHICAGO M MIL	MARRIOTT (COGEL Employee Lodging)
		11/25/2019	528.31	MARRIOTT CHICAGO M MIL	MARRIOTT (COGEL Employee Lodging)
		11/27/2019	217.96	SOUTHWEST	SOUTHWEST AIRLINES (COGEL Employee Travel)
		11/29/2019	410.60	UNITED AIRLINES	UNITED AIRLINES (COGEL Employee Travel)
		11/29/2019	81.72	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
		01/08/2020	81.79	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS
Total			4,886.37		

ATTACHMENT H

CHART OF FY19 AND FY20, TO DATE, REPROGRAMMING

(Response to Question No. 12, General Questions)

Chart of FY19 and FY20, To date, Reprogramming

Fiscal Year	Date	From	To	Reprogrammed Use of Fund	Total
2019	Mar-19	0111 PS Local lapsing	0410 NPS Local lapsing	Fair Election E-Filing System Upgrade	\$387,000.00
	Jul-19	0410 NPS Local lapsing	0410 NPS Local Non-lapsing	Move Fair Election funds to Non-Lapsing Side	\$642,000.00
	Jul-30	0111 PS	0410 NPS	Agency Operation	\$146,120.00
	Sep-19	0410 NPS Local lapsing	0410 NPS Local Non-lapsing	Move Fair Election Funds to Non-Lapsing Side	\$227,000.00
	FY 2019 Revised Final Local Budget				
2020	Oct-19	0410 NPS Local lapsing	0410 NPS Local Non-lapsing	Move Fair Election Funds to Non-Lapsing Side	\$3,648,561.62
	FY 2020 Revised Final Local Budget				

NOTE: Agency Funds are being transferred from 0100 to 1121

ATTACHMENT I

LIST OF OCF CONTRACTS FOR FY19 AND FY20, TO DATE

(Response to Question No. 15, General Questions)

FY19 and Contracts Listed by Vendor Name, Nature of Procurement, Dollar Amount, Budget Amount, Actually Spent, Term of Procurement, Competitively bid or not, Fund Sources and Contract Monitor

Vendor Name	Nature of Contract/End Product/Services	Dollar Amount	Budgeted Amount	Actually Spent	Term of Contract	Comp Bid/ Yes/No	Fund Source	Contract Monitor
MVS PO598317	Copier Maintenance for FY19	\$7,395.84	\$7,395.84	\$7,395.84	10/2018-09/2019	Yes	0410	Nadine Journiette
DataNet System Corp. PO595839	OCF Website and E-Filing System Maintenance FY19	\$55,312.64	\$55,312.64	\$55,312.64	10/2018-09/2019	Yes	0410	Sidney Wesley Williams
Dell Marketing L.P. PO605384	Upgrade 365 License for OCF Dell Computers FY19	\$2,256.64	\$2,256.64	\$2,256.64	10/2018-09/2019	Yes	0410	Nadine Journiette
CL Russell Group LLC PO607933	OCF Training for 2 Days for 35 Employees Yes	\$10,620.00	\$10,620.00	\$10,620.00	10/2018-09/2019	Yes	0410	Sidney Wesley Williams
DataNet System Corp. PO608528	Design and development of an E-Filing and Disclosure System	\$160,533.57	\$160,533.57	\$160,533.57	10/2018-09/2019	Yes	0410	Sidney Wesley Williams
MVS PO608954	OCF (4) Dell Laptops for Staff and Outreach Program	\$6,550.00	\$6,550.00	\$6,550.00	10/2018-09/2019	Yes	0410	Nadine Journiette
Wolter Kluwer Financial/ TeamMate PO610161	Audit Software Applications Design Yes	\$91,700.00	\$91,700.00	\$91,700.00	10/2018-09/2019	Yes	0410	Nadine Journiette
VLI PO587387	FY19 Website Developed and	\$79,289.00	\$79,289.00	\$79,289.00	10/2018-09/2019	Yes	0410	Sidney Wesley Williams
Star Office Products Inc PO611027	OCF (3) Canon Image Runner C5550i Copiers	\$32,794.80	\$32,794.80	\$32,794.80	10/2018-09/2019			Nadine Journiette
Metropolitan Office Products PO608969	Office Supplies	\$11,155.70	\$11,155.70	\$11,155.70	10/2018-09/2019	Yes	0210	Nadine Journiette
American Business Supplies PO610662	Office Supplies	\$12,171.97	\$12,171.97	\$12,171.97	10/2018-09/2019	Yes	0410	Nadine Journiette
MVS, Inc. PO610193	Laptops 3 Laptops	\$4,912.50	\$4,912.50	\$4,912.50	10/2018-09/2019	Yes	0710	Nadine Journiette

FY20 and Contracts Listed by Vendor Name, Nature of Procurement, Dollar Amount, Budget Amount, Actually Spent, Term of Procurement, Competitively bid or not, Fund Sources and Contract Monitor

Vendor Name	Nature of Contract/End Product/Services	Dollar Amount	Budgeted Amount	Actually Spent	Term of Contract	Comp Bid/ Yes/No	Fund Source	Contract Monitor
DataNet System Corp. RK140026	FY20 OCF Second Phase Development of the E-Filing System and Website Content for the Fair Elections Program.	\$133,764.09	\$133,764.09	\$133,764.09	10/1/2019-09/30/20	Yes	0410	Sidney Wesley Williams
DataNet System Corp PO618244	OCF- E-Filing System for both programs Traditional and Fair Elections Program Provides Technical Support and Maintenance Support.	\$69,536.16	\$69,536.16	\$69,536.16	10/1/2019-09/30/20	Yes	0410	Sidney Wesley Williams
PO618243	Audio and Visual Maintenance/Technical Support	\$8,300.00	\$8,300.00	\$8,300.00	10/1/2019-09/30/20	Yes	0410	Sidney Wesley Williams
PO617283	Wolters Kluwer Financial Maintenance and Technical Support for TeamMate Audit Software Application Subscription for Licenses, Training and Hosting for (16) OCF Employees.	\$49,200.00	\$49,200.00	\$49,200.00	10/1/2019-09/30/20	Yes	0410	Nadine Journiette

ATTACHMENT J

**FY19 PERFORMANCE PLAN AND REPORT FOR THE
OFFICE OF CAMPAIGN FINANCE
(Response to Question No. 24, General Questions)**

ATTACHMENT K

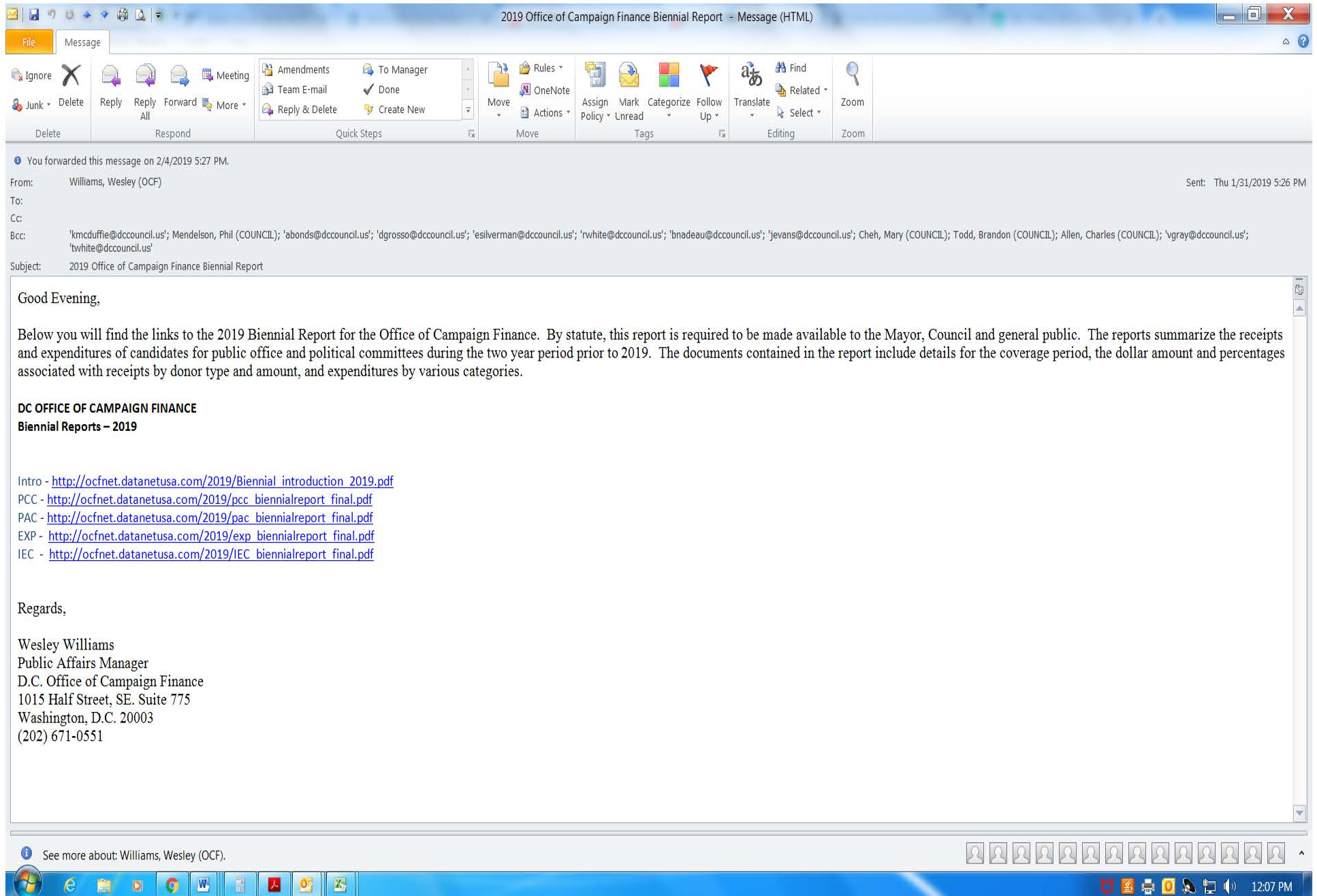
**FY20 PERFORMANCE PLAN FOR THE OFFICE OF
CAMPAIGN FINANCE**

(Response to Question No. 25, General Questions)

ATTACHMENT L

**COPY OF E-MAIL DATED JANUARY 31, 2019 PROVIDING
LINKS TO THE OCF 2019 BIENNIAL REPORT
(Response to Question No. 28, General Questions)**

Links to the OCF Biennial Report



2019 Office of Campaign Finance Biennial Report - Message (HTML)

You forwarded this message on 2/4/2019 5:27 PM.

From: Williams, Wesley (OCF) Sent: Thu 1/31/2019 5:26 PM

To:

Cc:

Bcc: 'kmcduffie@dccouncil.us'; Mendelson, Phil (COUNCIL); 'abonds@dccouncil.us'; 'dgrosso@dccouncil.us'; 'esilverman@dccouncil.us'; 'rwhite@dccouncil.us'; 'bnadeau@dccouncil.us'; 'jevans@dccouncil.us'; Cheh, Mary (COUNCIL); Todd, Brandon (COUNCIL); Allen, Charles (COUNCIL); 'vgray@dccouncil.us'; 'twwhite@dccouncil.us'

Subject: 2019 Office of Campaign Finance Biennial Report

Good Evening,

Below you will find the links to the 2019 Biennial Report for the Office of Campaign Finance. By statute, this report is required to be made available to the Mayor, Council and general public. The reports summarize the receipts and expenditures of candidates for public office and political committees during the two year period prior to 2019. The documents contained in the report include details for the coverage period, the dollar amount and percentages associated with receipts by donor type and amount, and expenditures by various categories.

DC OFFICE OF CAMPAIGN FINANCE
Biennial Reports – 2019

Intro - http://ocfnet.datanetusa.com/2019/Biennial_introduction_2019.pdf
PCC - http://ocfnet.datanetusa.com/2019/pcc_biennialreport_final.pdf
PAC - http://ocfnet.datanetusa.com/2019/pac_biennialreport_final.pdf
EXP - http://ocfnet.datanetusa.com/2019/exp_biennialreport_final.pdf
IEC - http://ocfnet.datanetusa.com/2019/IEC_biennialreport_final.pdf

Regards,

Wesley Williams
Public Affairs Manager
D.C. Office of Campaign Finance
1015 Half Street, SE, Suite 775
Washington, D.C. 20003
(202) 671-0551

See more about: Williams, Wesley (OCF).

ATTACHMENT M

LIST OF TOP 25 OVERTIME EARNERS IN FY19 AND FY20, TO DATE
(Response to Question No.29, General Questions)

List of Top 25 Overtime Earners in FY19 and FY20, To Date

FY2019 Overtime Hours

Office of the Director

Title/ Program/ Activity	Name	Grade	Step	Series	Salary	Fringe Benefits	EOD	Date / Hours	Status Continuing/Term/ Temporary/ Contract/Vacant/ Frozen
Clerical Assistant Program 2000 /Activity 1015	Alexander, Natasha	CS-05	05	303	39,223.00	9,158.57	03/08/18	06/15/19 (3) Hours	Continuing
							Total: (3)		
							Grand Total (3)		

Fair Elections Program Division

Title/ Program/ Activity	Name	Grade	Step	Series	Salary	Fringe Benefits	EOD	Date / Hours	Status Continuing/Ter m/Temporary/ Contract/Vacant/ Frozen
Auditor 3000/Activity 310	Lazo, Adriana	CS-09	01	511	51,059.00	11,896.75	07/08/19	08/01/19 (3) Hours	Continuing
Auditor 3000/Activity 310	Lazo, Adriana	CS-09	01	511				08/02/19 (3) Hours	
Auditor 3000/Activity 310	Lazo, Adriana	CS-09	01	511				09/03/19 (3) Hours	
Auditor 3000/Activity 310	Lazo, Adriana	CS-09	01	511				09/14/19 (3) Hours	
							Total: (12) Hours		
							Grand Total: (12) Hours		

FY2020 Overtime Hours

Fair Elections Program Division

Title/ Program/ Activity	Name	Grade	Step	Series	Salary	Fringe Benefits	EOD	Date / Hours	Status Continuing/Ter m/Temporary/ Contract/Vacant/ Frozen
Auditor 3000/Activity 310	Lazo, Adriana	CS-09	01	511	51,059.00	11,896.75	07/08/19	10/01/19 (4) Hours	Continuing
Auditor 3000/Activity 310	Lazo, Adriana	CS-09	01	511				10/12/19 (2) Hours	
								Total: (6) Hours	
								Grand Total: (6) Hours	

ATTACHMENT N

**LIST OF EMPLOYEES PLACED ON ADMINISTRATIVE LEAVE IN FY19
AND FY20, TO DATE**

(Response to Question No. 32, Agency Operations)

List of Employees on Administrative Leave in FY 19 and FY 20 To Date

FY19

Employee	Date(s)	Total Hours	Leave Type	Reason	Status
Payam Zeraat	Oct 2, 2018	8 Hours	Paid Administrative leave	Misconduct	Terminated 11/20/2018

FY20

No activity

Office of Campaign Finance FY2019

Agency Office of Campaign Finance

Agency Acronym OCF

Agency Code CJO

To edit agency and POC information press your agency name (underlined and in blue above).

Agency Performance POCs Cecily (OCF) Collier-Montgomery; Nadine (OCF) Journiette

Agency Budget POCs Cecily (OCF) Collier-Montgomery; Nadine (OCF) Journiette

Fiscal Year 2019

FY2019 Agency Top Accomplishments

Add Add Accomplishment

Accomplishment

Accomplishments

Accomplishment	Impact on Agency	Impact on Residents
The Office of Campaign Finance produced and disseminated the OCF 2019 Biennial Report of Contributions and Expenditures for the period from January 2017 through December 2018 to the Mayor and the Council of the District of Columbia, and to the public at the OCF Web Site.	The production of the Biennial Report furthers the responsibility of the Agency to ensure the disclosure and transparency of the financial transactions reported by candidates and committees in their Reports of Receipts and Expenditures filed with the Office of Campaign Finance.	The Report provides the public with a summary of the receipts and expenditures of candidates for elective office, with the exception of ANC candidates, and the various committees registered with the Agency, for the prior two (2) year period in dollar amount and percentage terms, by donor categories and the size of the donation, and expenditure type.
The Office of Campaign Finance completed and launched the Fair Elections Program E-Filing System for public use on July 26, 2019. The System enables the electronic submission of financial reports by FEP candidates and the real time imaging of the reports for public view. All FEP participants successfully filed their financial reports on July 31, 2019, the first filing deadline for the Program.	The completion of the development of the FEP E-Filing System aids the Agency in its ongoing efforts to fully implement the provisions of the "Fair Elections Amendment Act of 2018", and satisfies the requirement to provide for the online submission of financial reports under the Fair Elections Program.	The FEP Electronic Filing System completion was a major milestone in the implementation of the Fair Elections Program. The System allows candidates in the Fair Elections Program to submit their financial reports online and upload required contributor documentation, and provides real time imaging of the reports for public view by District residents.
To inform a wider audience about the new Fair Elections Public Financing Program, the Office of Campaign Finance partnered with the Office of Advisory Neighborhood Commissions to request the inclusion of OCF on the public meeting agendas of the 40 ANCs, which consist of the 296 Single Member Districts, located in Wards 1 through 8, to introduce the Fair Elections Program to the community. From April 2019 to September 2019, the OCF appeared at 19 ANC meetings.	The ANC Educational Outreach Initiative enabled the Agency to expand its reach and inform a wider audience about this major change in the Campaign Finance Laws which will provide for the public funding of campaign operations in the District of Columbia.	The Office of Campaign Finance successfully presented the highlights of the new Fair Elections Public Financing Program at the public meetings of the Advisory Neighborhood Commissions to District residents throughout the District of Columbia over a six (6) month period during the 2019 Calendar Year immediately preceding Calendar Year 2020 during which the June 2020 Primary Election for local Offices will be held.

Agency's Operating Budget

Lookup Your Agency's Operating Budget

2019 Objectives

Strategic Objectives

Objective Number	Strategic Objective
1	Provide fair, effective, and timely enforcement programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act.
2	Provide high quality educational outreach services (entrance conferences, training seminars, publications, and online tutorials) to increase full disclosure and voluntary compliance with the Campaign Finance Act.
3	Provide fair, effective, and efficient audit programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act.
4	Provide a high quality web-internet based public disclosure system to receive the online submission of financial reports, and to ensure the availability of campaign finance data and information in a manner that is easy to navigate, search, sort, and retrieve at the OCF Website.
5	Create and maintain a highly efficient, transparent and responsive District government.

Add Strategic Objective
Add Strategic Objective

2019 Key Performance Indicators

Key Performance Indicators

Measure	New Measure/ Benchmark Year	Directionality	FY 2017 Actual Report	FY 2018 Actual Report	FY 2019 Target Report	FY 2019 Q1	FY 2019 Q2	FY 2019 Q3	FY 2019 Q4	FY 2019 Report	Was 2019 KPI Met?	Are Explanations of Barriers to Meeting KPIs Complete
1 - Provide fair, effective, and timely enforcement programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act. (3 Measures)												
Percent of informal hearings conducted and closed before the next filing deadline	<input type="checkbox"/>	Up is Better	140.7%	100%	100%	53.5%	100%	100%	69.7%	79.3%	Unmet	
Percent of Interpretative Opinions issued within thirty (30) days	<input type="checkbox"/>	Up is Better	66.7%	100%	100%	100%	No applicable incidents	No applicable incidents	100%	100%	Met	

Measure	New Measure/ Benchmark Year	Directionality	FY 2017 Actual Report	FY 2018 Actual Report	FY 2019 Target Report	FY 2019 Q1	FY 2019 Q2	FY 2019 Q3	FY 2019 Q4	FY 2019 Report	Was 2019 KPI Met?	Are Explanations of Barriers to Meeting KPIs Complete
Percent of expedited advice for time-sensitive election related matters issued within fifteen (15) days of request	<input type="checkbox"/>	Up is Better	92.9%	100%	100%	100%	100%	No applicable incidents	100%	100%	Met	
2 - Provide high quality educational outreach services (entrance conferences, training seminars, publications, and online tutorials) to increase full disclosure and voluntary compliance with the Campaign Finance Act. (1 Measure)												
Percent of new candidates and treasurers who receive mandatory training	<input type="checkbox"/>	Up is Better	100%	100%	100%	100%	100%	100%	100%	100%	Met	
3 - Provide fair, effective, and efficient audit programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act. (4 Measures)												
Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline	<input type="checkbox"/>	Up is Better	100%	100%	100%	100%	100%	100%	100%	100%	Met	
Percent of periodic random audits conducted within sixty (60) days of initiation	<input type="checkbox"/>	Up is Better	100%	100%	100%	100%	100%	100%	100%	100%	Met	
Percent of Base Amount Payments distributed within five (5) business days of the certification of a candidate into the Fair Elections Program	✓	Up is Better	New in 2019	New in 2019	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
Percent of candidates determined to meet requirements for certification by OCF within five (5) days of filing the affidavit declaring compliance with the Fair Elections Program.	✓	Up is Better	New in 2019	New in 2019	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
4 - Provide a high quality web-internet based public disclosure system to receive the online submission of financial reports, and to ensure the availability of campaign finance data and information in a manner that is easy to navigate, search, sort, and retrieve at the OCF Website. (1 Measure)												
Percent of financial reports filed electronically	<input type="checkbox"/>	Up is Better	964%	100%	100%	100%	100%	100%	100%	100%	Met	
5 - Create and maintain a highly efficient, transparent and responsive District government. (1 Measure)												
Percent of investigative matters closed within ninety (90) days of opening	<input type="checkbox"/>	Up is Better	Waiting on Data	No Applicable Incidents	100%	100%	100%	No applicable incidents	100%	100%	Met	

2019 Operations

Operations Header	Operations Title	Operations Description	Type of Operations
1 - Provide fair, effective, and timely enforcement programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act. (1 Activity)			
OFFICE OF THE GENERAL COUNSEL	Enforcement Program	The Office of the General Counsel provides legal advice and enforcement through the conduct of investigations and informal hearings, and the recommendation of decisions on charges of violations of the Campaign Finance Act; the issuance of interpretative opinions and expedited legal advice; the drafting of regulations and the review of OCF Forms for changes; the conduct of training seminars to promote voluntary compliance; and the coordination of site visits to the election precincts and early vote centers operated by the Board of Elections, and to campaign offices.	Daily Service
2 - Provide high quality educational outreach services (entrance conferences, training seminars, publications, and online tutorials) to increase full disclosure and voluntary compliance with the Campaign Finance Act. (1 Activity)			
TRAINING AND DEVELOPMENT	Educational Outreach Services	The OCF Educational Outreach Program assists with the coordination of the mandatory training conferences for new registrants, the onsite training seminars, the development of online brochures, interactive tutorials, and online tutorials, and the employee training program. The OCF Training Program also manages and utilizes the OCF Facebook Page as a training tool to disseminate information to the public. The Training Program distributes and evaluates surveys to training participants to assess the content and performance of the trainer.	Daily Service
3 - Provide fair, effective, and efficient audit programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act. (1 Activity)			
REPORT ANALYSIS & AUDIT DIV.	Audit Programs	The Reports Analysis and Audit Division conducts audit analysis and reviews of all financial reports and statements received in the Agency; issues requests for additional information to filers where deficiencies are noted during the desk review process; conducts full field audits of the campaign operations of newly elected public officials, investigative audits of financial operations based on the receipt of complaints or based upon desk reviews; conducts periodic random audits of the reports filed by the constituent service programs, committees active during an election cycle, and continuing committees; and recommends the issuance of final audit reports based on the findings of full field and random periodic audits. Participates in site visits to election precincts, early voting centers, and to the offices of principal campaign committees.	Daily Service
4 - Provide a high quality web-internet based public disclosure system to receive the online submission of financial reports, and to ensure the availability of campaign finance data and information in a manner that is easy to navigate, search, sort, and retrieve at the OCF Website. (1 Activity)			
PUBLIC INFO. & RECORD MANAGEMENT	Public Information collection and dissemination online and onsite	The Public Information and Records Management Division publishes campaign finance data and information online at the OCF Website, and makes information available in the OCF Offices; compiles listings and reports of contribution and expenditure information published at the website and in the Biennial Report; manages the electronic filing and data entry of financial reports; oversees the registration of new candidates and committees, and coordinates the mandatory training of the new registrants; oversees the OCF e-mail subscription service; makes all public reports and statements available for the public within 48 hours of receipt; and conducts the Filer Pre-Notification and Failure to File Programs.	Daily Service

Operations Header	Operations Title	Operations Description	Type of Operations
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2019 Workload Measures

Workload Measures - Operations	Measure	New Measure/Benchmark Year	Numerator Title	Units	FY 2016 Actual Report	FY 2017 Actual Report	FY 2018 Actual Report	FY 2019 Q1	FY 2019 Q2	FY 2019 Q3	FY 2019 Q4	FY 2019
1 - Enforcement Program (3 Measures)												
	Total number of informal hearings conducted	<input type="checkbox"/>	# of referrals for initiation of the informal hearing process	# of actual hearings required	47	83	83	38	55	49	23	165
	Total number of investigations completed within 90 days	<input type="checkbox"/>	# of investigations initiated	# of investigations completed within 90 days	Needs Update	Waiting on Data	No Applicable Incidents	1	1	No applicable incidents	1	3
	Total number of Interpretative Opinions and Expedited Advice issued	<input type="checkbox"/>	# of requests for Interpretative Opinions and Expedited Advice received	# of Opinions and Advice issued	19	12	8	No applicable incidents	No applicable incidents	No applicable incidents	1	1
2 - Educational Outreach Services (1 Measure)												
	Total number of mandatory training conferences conducted	<input type="checkbox"/>	# of new candidates and committee treasurers registered with the Agency	# of actual mandatory conferences conducted	34	29	197	4	2	13	26	45
3 - Audit Programs (2 Measures)												
	Total number of financial reports reviewed, evaluated, and analyzed for the reporting period	<input type="checkbox"/>	# of financial reports reviewed, evaluated, and analyzed for the reporting period	# of financial reports filed for the reporting period	727	1092	818	383	624	97	170	1274
	Total number of periodic random and full field audits completed by the Audit Division	<input type="checkbox"/>	# of random periodic and full field audits completed by the Audit Division	Total number of random periodic and full field audits initiated by the Audit Division.	24	17	13	4	3	8	4	19
4 - Public Information collection and dissemination online and onsite (2 Measures)												
	Total number of financial reports filed electronically	<input type="checkbox"/>	# of financial reports submitted online	# of actual financial reports submitted online	610	964	632	317	493	66	139	1015
	Total number of financial reports filed	<input type="checkbox"/>	# of financial reports filed	# of actual financial reports submitted	610	966	508	317	524	66	140	1047

2019 Initiatives

Strategic Initiatives	Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date	Add Initiative Update for PAR
Audit Programs (3 Strategic Initiatives)				
	Desk Reviews and Audits of Financial Reports	The Office of Campaign Finance will review the financial reports of all registrants following each filing deadline for compliance with the reporting requirements: conduct periodic random audits of the activity reports of the Constituent Service and Statehood Fund Programs following the close of the October 1st and April 1st Filing Deadlines, and of the continuing committees (including the Political Action Committees and the Independent Expenditure Committees) following the January 31st and July 31st 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 random audits are ongoing audit activities..	09-30-2019	
	Full Field Audits	The Office of Campaign Finance will select for full field audit the campaign operations of the principal campaign committees of candidates newly elected to Office following the certification of the results of the November 6, 2018 General Election by the Board of Elections. The conduct of the audit will require the selected reporting entity to submit all banking records and statements, invoices, loan documents, and receipts maintained in support of the financial transactions reported during the coverage period. This will allow the Audit Division to verify report entries against the supporting documentation and ensure the accuracy of the transactions.	09-30-2019	
	New Fair Elections Audit Program	The Office of Campaign Finance will develop an Audit Program unique to the requirements of D.C. Law 22-94, the "Fair Elections Amendment Act of 2018", effective May 5, 2018, to provide for the verification and full audit of the Financial Reports filed under the Fair Elections Program. The Fair Elections Act provides for the public funding of political campaigns in the District of Columbia. The Fair Elections Program is established in the Office of Campaign Finance.	01-31-2019	
Educational Outreach Services (2 Strategic Initiatives)				
	Expansion of the Educational Program to introduce the Fair Elections Program	The Office of Campaign Finance will expand the OCF Educational Program to fully introduce the Fair Elections Program, established by D.C. Law 22-94, the "Fair Elections Amendment Act of 2018", effective May 5, 2018. D.C. Law 22-94 will provide for the public funding of campaign operations in the District of Columbia. The OCF will design online tutorials, brochures, and a campaign finance guide to provide clear guidance in plain language on the requirements and purpose of the new Law to the residents of the District of Columbia. The OCF will revise the Mandatory Training Program and the onsite Educational Seminars to create seminars specific to the reporting requirements, contribution limitations and prohibitions of the Fair Elections Act; and utilize the OCF Website and Social Media Platforms to disseminate continuous information on the new Program.	09-30-2019	

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date	Add Initiative Update for PAR
Obtain Greater Disclosure and Compliance through the OCF Educational Program	The Office of Campaign Finance will conduct Mandatory training for each candidate for public office and the treasurer of each committee within fifteen (15) days of their registration with the Agency to address their obligations and responsibilities under the Campaign Finance Act and how best to achieve compliance. The OCF will schedule and conduct Educational Seminars onsite monthly commencing January 2019 for the continuing committees, the Constituent Service and Statehood Fund Programs, and for the public. The OCF will circulate surveys to the training participants during each onsite seminar to determine if the presentation achieved targeted satisfaction. The Agency will continue to partner with the Board of Elections through targeted educational and community events to promote a greater understanding of the Campaign Finance Laws.	09-30-2019	
Enforcement Program (2 Strategic Initiatives)			
Site Visits to Early Voting Centers and Election Precincts	The Office of the General Counsel will organize 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 Wards during the November 6, 2018 General Election. Members of the OCF Legal and Audit Staff will be dispatched to provide counsel and guidance where necessary concerning the application of the Campaign Finance Laws.	11-06-2018	
Proposal of OCF Regulations, Forms, and Brochures	The Office of the General Counsel will promulgate Regulations and draft Forms, Brochures, a Campaign Finance Guide, and Filing and Training Calendars to fully implement the requirements of D.C. Law 22-94, the "Fair Elections Amendment Act of 2018, effective May 5, 2018. D.C. Law 22-94 establishes the Fair Elections Program in the Office of Campaign Finance, and the Agency is charged with the administration of the Program.	01-31-2018	
Public Information collection and dissemination online and onsite (2 Strategic Initiatives)			
Dissemination of Biennial Report	The Office of Campaign Finance will produce and disseminate in an electronic format on January 31, 2019, the 2019 OCF Biennial Report of Contributions and Expenditures to the Mayor and the Council of the District of Columbia, and to the public. The Report will describe the receipts and expenditures of candidates for elective office, with the exception of ANC candidates, for the prior two (2) year period, in dollar amount and percentage terms, by donor categories and the size of the donation, and expenditure type. Graphs will be used to present the percentage terms. The receipts and expenditures of the political committees, political action committees, and independent expenditure committees will also be summarized.	02-01-2019	
Enhancement of the Electronic Filing System	During FY 2019, the Office of Campaign Finance will develop the OCF E-filing and Disclosure System to provide an application for the online submission of financial reports from candidates seeking certification in, and participating in the Fair Elections Program; and to create reports of data easy for the public to sort, search, and download from the OCF Database. The Office of Campaign Finance will also create a new link at the OCF Website dedicated solely to the Fair Elections Program from which information will be readily available. By virtue of D.C. Law 22-94, the "Fair Elections Amendment Act of 2018", effective May 5, 2018, public funding will be made available for campaign operations in the District of Columbia. The Fair Elections Program is established in the Office of Campaign Finance.	09-30-2019	

2019 Initiative Updates

Initiative Updates	Strategic Initiative Title	Initiative Status Update	% Complete to date	Confidence in completion by end of fiscal year (9/30)?	Status of Impact	Explanation of Impact	Supporting Data	FY20 Reporting Quarter
Desk Reviews and Audits of Financial Reports (1 Initiative Update)								
	Desk Reviews and Audits of Financial Reports	During FY 19, the Office of Campaign Finance issued fifteen (15) Periodic Audit Reports of candidates active in the 2018 Election Cycle, Political Action Committees, and the Constituent Services Programs. The Audit Branch conducted 1274 Desk Reviews of financial reports; issued 290 Requests for Additional Information; received 265 Responses and Amended Reports, with five (5) responses due in FY20; referred thirty (30) matters to the General Counsel; and recommended 53 Committees for Termination upon the approval of their Final Accounts.	Complete		Demonstrable	The conduct of periodic audits require reporting entities to submit all banking records, invoices, and receipts maintained in support of the financial transactions reported during the coverage period of the audited report. The audits enable the OCF to verify report entries against the supporting documentation, which ensures that the public record provides a full and accurate portrayal of the financial operations of the campaigns, committees, and the Constituent Services Programs.		Q4
Dissemination of Biennial Report (1 Initiative Update)								
	Dissemination of Biennial Report	On January 31, 2019, the Office of Campaign Finance issued the 2019 Biennial Report of Contributions and Expenditures to the Mayor, the Council, and the public at the OCF Web Site. The Report summarizes the receipts and expenditures of candidates for public office (except ANC candidates) and committees reported for the period from January 2017 through December 2018.	Complete		Demonstrable	The Biennial Report summarizes the financial transactions of candidates and committees for a two year period, further increasing the transparency of campaign operations for public view in one report.		Q4
Enhancement of the Electronic Filing System (1 Initiative Update)								
	Enhancement of the Electronic Filing System	The Office of Campaign Finance completed and launched the Fair Elections Program E-Filing System for public use on July 26, 2019. The System enables the electronic submission of financial reports by FEP candidates and the real time imaging of the reports for public view. All FEP participants successfully filed their financial reports and supporting documentation online at the OCF Web Site on July 31, 2019, the first filing deadline for the Program. The administrative modules of the FEP E-Filing System assisted the OCF with the verification of the financial reports. During FY 19, the OCF certified five (5) candidates in to the FEP Program, and directed the disbursement of Base Amount and Matching Payments in the total sum of \$368,615.10.	Complete		Transformative	The development and completion of the FEP E-Filing System was a major milestone in the implementation of the Fair Elections Program. The System allows candidates in the Program to submit their financial reports online and upload required contributor documentation; and provides real time imaging of the reports for public view by District residents.		Q4
Expansion of the Educational Program to introduce the Fair Elections Program (1 Initiative Update)								

Strategic Initiative Title	Initiative Status Update	% Complete to date	Confidence in completion by end of fiscal year (9/30)?	Status of Impact	Explanation of Impact	Supporting Data	FY20 Reporting Quarter
Expansion of the Educational Program to introduce the Fair Elections Program	The Office of Campaign Finance partnered with the Office of the Advisory Neighborhood Commissions (ANC) to request the inclusion of OCF at ANC meetings to introduce the new Fair Elections Program. From April 2019 to September 2019, the OCF appeared at 19 ANC meetings in communities throughout the District. The Agency also participated in nine (9) Community Outreach Events and or Projects with the Board of Elections, and two (2) other community events to present information on the Fair Elections Program. The Agency also fully utilized its Social Media Platforms to provide notice of its upcoming training sessions and community appearances; and created Public Service Announcements and Bulletins for broadcast on WTOF Radio and DC Cable.	Complete		Demonstrable	The Office of Campaign Finance established the ANC Educational Outreach Initiative to reach a wider audience in its effort to fully inform the residents of the District of Columbia about this major change in the Campaign Finance Laws.		Q4
Full Field Audits (1 Initiative Update)							
Full Field Audits	The Office of Campaign Finance selected the campaign operations of four (4) newly elected Members of the State Board of Education for full field audit following the certification of the November 6, 2018 General Election Results by the Board of Elections. The audits were conducted of the entire operations of each committee from its organization to the request for termination. The Agency verified the reported financial transactions against the banking records and statements, invoices, loan documents, and receipts maintained by the Committees during the financial operations of the campaigns. The full field audits resulted in the issuance of two (2) Compliance Reports, and the continuing review of two (2) of the committees. The Agency also conducted full field audits of an Inaugural Committee organized following the 2018 General Election, which resulted in a Compliance Report; and the Principal Campaign Committee of a candidate active in the 2018 Election Cycle, which resulted in the issuance of a Non-Compliance Report.	Complete		Demonstrable	The conduct of full field audits enables the verification of reported financial transactions against the records maintained by the Committees in support of the entries. The audit process provides the opportunity for the amendment of reports where omissions or errors are identified. As a consequence, audits ensure that the public record provides a full and accurate portrayal of the financial operations of the campaigns audited. Where compliance is not achieved, the committees are referred to the OCF General Counsel for enforcement.		Q4
New Fair Elections Audit Program (1 Initiative Update)							
New Fair Elections Audit Program	The Office of Campaign Finance developed an Audit Program unique to the requirements of the Fair Elections Program, which provides for the verification, desk review, and full audit of the financial reports filed under the Program. The Fair Elections Division has verified and desk reviewed 12 financial reports filed by candidates registered in the FEP, commencing with the first reporting deadline for the Program, July 31, 2019.	Complete		Transformative	The development of the Audit Program for the Fair Elections Program will ensure the full disclosure of accurate and complete data, and provide supporting justification for the direction of base amount and matching payments to candidates certified as participating candidates in the Program.		Q4
Obtain Greater Disclosure and Compliance through the OCF Educational Program (1 Initiative Update)							
Obtain Greater Disclosure and Compliance through the OCF Educational Program	During FY 19, the Office of Campaign Finance achieved a 99% compliance rate with the mandate for new candidates and the treasurer of each newly formed committee and Constituent Services Program to attend training on their responsibilities and duties under the Campaign Finance Laws. Each of the 45 new candidates and treasurers who registered during FY 19 attended the training and swore or affirmed to follow the Campaign Finance Laws. Held 51 onsite training seminars and mandatory training conferences, and attended seven (7) community events with the Board of Elections.	Complete		Demonstrable	Then near 100% compliance rate assured District Residents that the filing community participated in training to address their obligations and duties under the Campaign Finance Laws, and made a commitment to comply with those laws. The 100% compliance rate promotes voluntary compliance as demonstrated by the reduction in enforcement actions, and the 100% compliance with the mandate to e-file financial reports.		Q4
Proposal of OCF Regulations, Forms, and Brochures (1 Initiative Update)							
Proposal of OCF Regulations, Forms, and Brochures	The Office of Campaign Finance submitted three Notices of Proposed Rulemaking which were adopted as Final by the Board of Elections and published in the D.C. Register on October 11, 2019 (Vol 66/42), July 12, 2019 (Vol 66/28), and May 31, 2019 (Vol 66/22), to fully implement the provisions of the "Fair Elections Amendment Act of 2018", as amended. The Office of the General Counsel also assisted with the development of three (3) Brochures and two (2) online power points for the Fair Elections Program, and with the drafting of Registration and Financial Forms for the Program; and the revision of the Campaign Finance Guide and the Mandatory Training Programs to fully incorporate the requirements of the Fair Elections Program.	Complete		Transformative	The Fair Elections Program is established by the "Fair Elections Amendment Act of 2018" in the Office of Campaign Finance. The Agency is charged by this Act with the administration of the Program, including the implementation of Regulations.		Q4
Site Visits to Early Voting Centers and Election Precincts (1 Initiative Update)							
Site Visits to Early Voting Centers and Election Precincts	Site visits were conducted by the Office of Campaign Finance on November 2, 2018 at 12 of the 14 Early Voting Centers designated in Wards 1 - 8, and during the November 6, 2018 General Election in 98 of the 143 Precincts operated by the Board of Elections. Campaign signs displayed the proper disclaimers and were appropriately placed outside the election marker boundaries; and electioneering activity was conducted within the appropriate boundaries. The OCF did not receive any complaints or observe any infractions that may have compromised the integrity of the election process.	Complete		Demonstrable	The conduct of the site visits afforded the Agency the opportunity to be present in the community and available to the public to respond to questions, and to assist the public in understanding their obligations under the Campaign Finance Act. When infractions occur, the Agency is immediately available to require the correction of same.		Q4

Internal: Unfinished 2018 Initiatives

This year, the OCA is requesting updates on any unfinished initiatives from FY18. Updates will not be published, but will be used to report progress to the City Administrator and the Mayor as needed.

Strategic Initiatives	Title	Description	Complete to Date	Status Update	Explanation	Anticipated Completion Date	Add Initiative Update - Rolled Over Initiatives
TRAINING AND DEVELOPMENT (1 Strategic Initiative)							

Int: Unfinished 2018 Initiative Updates

Strategic Initiative Title	Anticipated completion date	New initiative created for FY19	No Longer an Initiative	Initiative Status Update	% Complete to date	Confidence in completion by anticipated completion date?	Status of Impact	Explanation of Impact	Supporting Data	FY19 Reporting Quarter
No initiative updates found										

2019 Capital Projects

Capital projects - performance plans links	Project Number	Project Title	Owner Agency Acronym	Implementing Agency Acronym	Milestone Description	Fiscal Year Allotment
No capital projects - performance plans links found						
Operating Budget						

Administrative Information

Record ID# 659

Performance Plan ID 659 [Blank Initiative Updates](#) [Blank Initiative Updates](#)

Measure	New Measure/ Benchmark Year	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY2019 Actual	FY 2020 Target	FY 2020 Quarter 1
Percent of periodic random audits conducted within sixty (60) days of initiation	<input type="checkbox"/>	Up is Better	100%	100%	100%	100%	100%	100%
4 - Provide a high quality web-internet based public disclosure system to receive the online submission of financial reports, and to ensure the availability of campaign finance data and information in a manner that is easy to navigate, search, sort, and retrieve at the OCF Website. (1 Measure)								
Percent of financial reports filed electronically	<input type="checkbox"/>	Up is Better	96.4%	100%	100%	100%	100%	100%
5 - Provide a fair, effective, and efficient public financing program for candidates who qualify to participate in the program and agree to abide by its requirements (3 Measures)								
Percent of candidates determined to meet requirements for certification by OCF within ten (10) business days of filing the affidavit declaring compliance with the Fair Elections Program.	<input type="checkbox"/>	Up is Better	New in 2019	New in 2019	100%	100%	100%	100%
Percent of Base Amount and Matching Payments authorized for disbursement within five (5) days of the certification of a candidate into the Fair Elections Program	<input type="checkbox"/>	Up is Better	New in 2019	New in 2019	100%	100%	100%	100%
Percent of matching payments directed for disbursement to participating candidates within five (5) days after the receipt of financial reports	<input checked="" type="checkbox"/>	Up is Better	New in 2020	New in 2020	New in 2020	New in 2020	New in 2020	100%
6 - Create and maintain a highly efficient, transparent, and responsive District government. (1 Measure)								
Percent of investigative matters closed within ninety (90) days of opening	<input type="checkbox"/>	Up is Better	Waiting on Data	No Applicable Incidents	100%	100%	100%	100%

2020 Operations

Operations Header	Operations Title	Operations Description	Type of Operations
1 - Provide fair, effective, and timely enforcement programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act. (1 Activity)			
OFFICE OF THE GENERAL COUNSEL	Enforcement Program	The Office of the General Counsel provides legal advice and enforcement through the conduct of investigations and informal hearings, and the recommendation of decisions on charges of violations of the Campaign Finance Act; the issuance of interpretative opinions and expedited legal advice; the drafting of regulations and the review of OCF Forms for changes; the conduct of training seminars to promote voluntary compliance; and the coordination of site visits to the election precincts and early vote centers operated by the Board of Elections, and to campaign offices.	Daily Service
2 - Provide high quality educational outreach services (entrance conferences, training seminars, publications, and online tutorials) to increase full disclosure and voluntary compliance with the Campaign Finance Act. (1 Activity)			
TRAINING AND DEVELOPMENT	Educational Outreach Services	The OCF Educational Outreach Program assists with the coordination of the mandatory training conferences for new registrants, the onsite training seminars, the development of online brochures, interactive tutorials, and online tutorials, and the employee training program. The OCF Training Program also manages and utilizes the OCF Facebook Page as a training tool to disseminate information to the public. The Training Program distributes and evaluates surveys to training participants to assess the content and performance of the trainer.	Daily Service
3 - Provide fair, effective, and efficient audit programs and activities to increase and support the full, accurate, and complete disclosure of documents and actions relevant to the Campaign Finance Act. (1 Activity)			
REPORT ANALYSIS & AUDIT DIV.	Audit Programs	The Reports Analysis and Audit Division conducts audit analysis and reviews of all financial reports and statements received in the Agency; issues requests for additional information to filers where deficiencies are noted during the desk review process; conducts full field audits of the campaign operations of newly elected public officials, investigative audits of financial operations based on the receipt of complaints or based upon desk reviews; conducts periodic random audits of the reports filed by the constituent service programs, committees active during an election cycle, and continuing committees; and recommends the issuance of final audit reports based on the findings of full field and random periodic audits. Participates in site visits to election precincts, early voting centers, and to the offices of principal campaign committees.	Daily Service
4 - Provide a high quality web-internet based public disclosure system to receive the online submission of financial reports, and to ensure the availability of campaign finance data and information in a manner that is easy to navigate, search, sort, and retrieve at the OCF Website. (1 Activity)			
PUBLIC INFO. & RECORD MANAGEMENT	Public Information collection and dissemination online and onsite	The Public Information and Records Management Division publishes campaign finance data and information online at the OCF Website, and makes information available in the OCF Offices; compiles listings and reports of contribution and expenditure information published at the website and in the Biennial Report; manages the electronic filing and data entry of financial reports; oversees the registration of new candidates and committees, and coordinates the mandatory training of the new registrants; oversees the OCF e-mail subscription service; makes all public reports and statements available for the public online within 24 hours of receipt; and conducts the Filer Pre-Notification and Failure to File Programs.	Daily Service
5 - Provide a fair, effective, and efficient public financing program for candidates who qualify to participate in the program and agree to abide by its requirements (1 Activity)			

Operations Header	Operations Title	Operations Description	Type of Operations
FAIR ELECTIONS DIVISION	Fair Elections Program	The Fair Elections Program Division provides public financing to candidates who elect to participate in the program; determines whether candidates qualify for certification and public funds based on the verification of threshold requirement; authorizes the distribution of base amount payments and matching payments; and conducts post-election audits of all campaign operations for compliance with the Fair Elections Amendment Act.	Daily Service

2020 Workload Measures

Measure	New Measure/ Benchmark Year	FY2016 Actual	FY2017 Actual	FY2018 Actual	FY2019 Actual	FY 2020 Quarter 1
1 - Enforcement Program (3 Measures)						
Total number of informal hearings conducted	<input type="checkbox"/>	47	83	83	165	14
Total number of investigations completed within 90 days	<input type="checkbox"/>	Needs Update	Waiting on Data	No Applicable Incidents	3	1
Total number of Interpretative Opinions and Expedited Advice issued	<input type="checkbox"/>	19	12	8	1	3
2 - Educational Outreach Services (1 Measure)						
Total number of mandatory training conferences conducted	<input type="checkbox"/>	34	29	197	45	24
3 - Audit Programs (2 Measures)						
Total number of financial reports reviewed, evaluated, and analyzed for the reporting period	<input type="checkbox"/>	727	1092	818	1274	165
Total number of periodic random and full field audits completed by the Audit Division	<input type="checkbox"/>	24	17	13	19	6
4 - Public Information collection and dissemination online and onsite (2 Measures)						
Total number of financial reports filed	<input type="checkbox"/>	610	966	508	1047	154
Total number of financial reports filed electronically	<input type="checkbox"/>	610	964	632	1015	154
5 - Fair Elections Program (2 Measures)						
Total number of candidates certified as participating candidates in the Fair Elections Program	✓	New in 2020	New in 2020	New in 2020	New in 2020	Annual Measure
Total number of pre-election and post election audits completed by the Fair Elections Division	✓	New in 2020	New in 2020	New in 2020	New in 2020	Annual Measure

2020 Initiatives

Strategic Initiatives	Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date	Is this Initiative focused on Wards 7 and/or 8?	Does this initiative support the Resilient DC Strategy?	Activity - Objective - Agency - Cluster	Add Initiative Update
Audit Programs (1 Strategic Initiative)							
Desk Reviews and Audits of Financial Reports		During FY 20, the Office of Campaign Finance will conduct at least four (4) periodic random audits of the financial reports of the principal campaign committees of candidates active during the 2020 Election Cycle following the December 10th, 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, committees, and the Constituent Services and Statehood Fund	09-30-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date	Is this Initiative focused on Wards 7 and/or 8?	Does this initiative support the Resilient DC Strategy?	Activity - Objective - Agency - Cluster	Add Initiative Update
	Programs, for compliance with the reporting requirements; randomly audit the activity reports of the Constituent Service and Statehood Fund Programs at the close of the October 1st and the April 1st Filing Deadlines, and the financial reports of the continuing committees at the close of the January 31st and the July 31st Filing Deadlines; and refer violations of the Campaign Finance Act to the General Counsel for enforcement.					
Educational Outreach Services (2 Strategic initiatives)						
Mandatory and Continuing Educational Programs	During FY 20, as mandated by D.C. Law 20-250, the "Campaign Finance Reform Amendment Act of 2018", effective March 13, 2019, as amended, the Office of Campaign Finance will update all mandatory training materials to include content on the Fair Elections Program, and the contribution limitations and reporting requirements of the Campaign Finance Act, as amended, pertaining to business contributors and their affiliated entities. The Agency will continue to schedule and conduct Mandatory Training for each candidate for public office and the treasurer of each committee within fifteen (15) days of their registration, or as otherwise available. The Agency will conduct monthly onsite training sessions, commencing January 2020 for the public, continuing committees, and the Constituent Service and Statehood Fund Programs, and for those committees active during the 2020 Election Cycle, as well as offer webinars on the reporting requirements of the Campaign Finance Laws.	09-30-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update
Community Outreach	During FY 20, the Office of Campaign Finance will continue to partner with the Board of Elections in its 2019 Voter Registration and Education Outreach Campaign and participate in community and civic events to disseminate information on the Campaign Finance Laws and the role of the Agency to administer these laws. The Agency will continue its outreach efforts to the Advisory Neighborhood Commissions to present information at ANC meetings on the Fair Elections Program, and will further expand its reach into the public through invitations extended to the DC Federation of Citizens and DC Federation of Civic Associations to address their memberships and introduce the new Fair Elections Program. The Fair Elections program is established in the Office of Campaign Finance and provides public financing for campaign operations.	09-30-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update
Enforcement Program (3 Strategic initiatives)						
Site Visits to Early Voting Centers and Election Precincts	The Office of the General Counsel will organize 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 2020 Primary Election for local elective offices in the District of Columbia, to observe campaign activity. The OCF staff will provide counsel where necessary, concerning the application of the Campaign Finance Laws.	06-02-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update
Petitions For Enforcement	The Office of the General Counsel will revise the OGC Standard Operating Procedures to improve the monitoring process for the referral of petitions to the Board of Elections to enforce OCF Orders where fines imposed by the Agency for the violation of the Campaign Finance Act, as amended, remain unpaid. The revision of the monitoring tool will ensure the timely submission of enforcement actions to the Board within sixty (60) days of the expiration of the period provided for the payment of fines, pursuant to 3 DCMR Section 3711.	01-31-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update
Review of OCF Regulations and Forms	The Office of the General Counsel will draft and revise the OCF Regulations, Forms, Brochures, Campaign Finance Guide, and Filing and Training Calendars to fully implement the requirements of D.C. Law 22-250, the "Campaign Reform Amendment Act of 2018", effective March 13, 2019, as amended by Subtitle E, the "Fair Elections and Campaign Finance Reform Amendment Act of 2019", of Title 1, of D.C. Law 23-16, the "Fiscal Year 2020 Budget Support Act of 2019", effective September 11, 2019.	01-31-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update
Fair Elections Program (3 Strategic initiatives)						
FEP Expanded Educational Outreach	During FY 20, the Fair Elections Program Division will develop and employ Public Service Announcements, Videos, and Household Mailers to increase audience outreach and better inform District Residents about the new Fair Elections Program and any scheduled candidate debates. The Fair Elections Program is established in the Office of Campaign Finance and provides for the public financing of campaign operations.	09-30-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update
Candidate Outreach	The Fair Elections Division will develop and offer monthly training and technical assistance to candidates on the effective use of the FEP E-Filing System which allows the user to upload required documents.	09-30-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update
The FEP Debate Program	The Fair Elections Act establishes a debate requirement for each contested election in an election cycle for the at large covered offices. The Fair Elections Program will develop a Debate Program within the Division for the conduct of debates in city wide elections where the elections are contested, involve more than one participating candidate in the Fair Elections Program, or any candidate who has qualified for ballot access who is not a participating candidate, and has consented to participate in a debate. The first potential debate will be for citywide candidates participating in the Fair Elections Program in the June 2, 2020 Primary Election. The debates will provide voters with the opportunity to hear directly from candidates on issues that are important to residents of the District of Columbia.	12-31-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update
Public Information collection and dissemination online and onsite (1 Strategic Initiative)						

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date	Is this Initiative focused on Wards 7 and/or 8?	Does this initiative support the Resilient DC Strategy?	Activity - Objective - Agency - Cluster	Add Initiative Update
Publication of Information at the OCF Website	During FY 20, the Office of Campaign Finance, as required by D.C. Law 22-250, the "Campaign Finance Reform Amendment Act of 2018", will upgrade the OCF E-Filing and Disclosure System to fully implement the amendments to the reporting requirements, including changes in contribution limits for certain committees, and to provide for the download and search of contributions and expenditures, sortable by street address, city, state, or the zip code of the contributor or payee. The Agency will continue to develop public reports for the disclosure of information and data germane to the Fair Elections Program.	09-30-2020	<input type="checkbox"/>	<input type="checkbox"/>	Internal Services	Add Initiative Update

▼ FY2020 Initiative Updates

Initiative Updates	Strategic Initiative Title	Initiative Status Update	% Complete to date	Confidence in completion by end of fiscal year (9/30)?	Status of Impact	FY20 Reporting Quarter
No initiative updates found						

▼ Internal: Unfinished 2019 Initiatives

Strategic Initiatives	Title	Description	Complete to Date	Status Update	Explanation	Anticipated Completion Date	Add Initiative Update - Rolled Over Initiatives
No strategic initiatives found							

▼ Updates for Unfinished FY19 Initiatives

Strategic Initiative Title	Anticipated completion date	New initiative created for FY19	No Longer an Initiative	Initiative Status Update	% Complete to date	Confidence in completion by anticipated completion date?	Status of Impact	Explanation of Impact	Supporting Data	FY20 Reporting Quarter
No initiative updates found										

▼ Administrative Information

Record ID# 701

Performance Plan ID 701 [Blank Initiative Updates](#) [Blank Initiative Updates](#)