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

FY20 Performance of the Office of Campaign Finance

Submitted

March 12, 2021

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

March 12, 2021

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 2020.

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

March 12, 2021

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 (March 2021), and Organizational Charts for each OCF Division (March 2021) (**Attachment A**) are attached. The Office of Campaign Finance Functional Organization Chart (March 12, 2021) is attached and provides a breakdown of the responsibilities of each OCF Division. **See Attachment B**. The OCF currently has thirty-eight (38) continuing full time positions. The Fiscal Year 2021 Approved Budget for the Office of Campaign Finance included increases in the Oversight Support Services Program of $292,535.00 and 3.0 FTE's (Attorney-Advisor, LS-12 – 86,366.00; Auditor, CS-12 – $76,126.00; and Information Technology Specialist, CS-11 - $61,521.00) to support the Agency's staffing needs to meet the added responsibilities established under the Covered Contractor Provisions of D.C. Law 22-250, the "Campaign Finance Reform Amendment Act of 2018," effective March 13, 2019, as amended, and applicable upon the inclusion of their fiscal effect in an approved budget and financial plan.

   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, remains 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; 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 post-election 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.**

RESPONSE:

There were no changes made to the Organizational Chart of the Office of Campaign Finance during Fiscal Year 2020.

2. **Please provide a current Schedule A for the agency which identifies each filled, vacant, unfunded, and funded position by program and activity, with the employee's name (if filled) title/position, salary, fringe benefits, and length of time with the agency (if filled). Please note the date 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 March 2021, for the Office of Campaign Finance is attached. The Schedule A identifies each filled, vacant, unfunded, and funded position by program and activity, with the employee's name (if filled), title/position, salary, fringe benefits, including the specific grade, series, and step of position, and length of time with the Agency (if filled); 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 FY20 and FY21, 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 20, and FY 21, to date, the Office of Campaign Finance has not detailed 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 FY20 and FY21, 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 FY20, or FY 21 to date. During FY20, and FY21, 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 FY20 and FY21, to date, including the justification for travel.**

RESPONSE:

The list of travel expenses arranged by employee for Fiscal Year 2020 is below. As of this date, the Office of Campaign Finance has not incurred travel expenses for employees in Fiscal Year 2021.

FY 2020 Travel Expenses

Wesley Williams, Public Affairs Manager	
Employee traveled to Chicago, Illinois to attend the 2019 COGEL Conference from December 15, 2019 – December 18, 2019.	
Cost Associated with travel:	
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	
Employee traveled to Chicago, Illinois to attend the 2019 COGEL Conference from December 15, 2019 – December 18, 2019.	
Cost Associated with travel:	
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	
Employee traveled to Chicago, Illinois to attend the 2019 COGEL Conference from December 15, 2019 – December 18, 2019.	
Cost Associated with travel:	
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**

5. **Please list all memoranda of understanding ("MOU") entered into by the Agency in FY20 and FY21, 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 FY20 and FY21, to date, is attached with the requested information. **See Attachment D.**

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 FY20 and FY21, to date.**

RESPONSE:

The Agency has continued to forge 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 Hartford, 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 visit provided the Office of Campaign Finance with the opportunity to observe firsthand the administration/management of public financing programs. The Office of Campaign Finance has communicated in FY20 and FY21, to date, with the various jurisdictions concerning specific aspects of the administration of their public financing programs, including the verification and processing of contributions by credit cards, the minimum contribution amount for match, contributions by family members, the debate process, and post-election audits. In addition, the Agency routinely reviews the statutes, regulations, forms, brochures, guides, training materials, and post-election reports of our peers for a comparison of our processes.

Further, members of the Office of Campaign Finance Staff participated in the 2020 Council on Government Ethics Laws (COGEL) Virtual Conference in December 2020, 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, and the availability of virtual training. During FY 2020, seminars were scheduled onsite on February 20, 2020 and on March 19, 2020, and thereafter made available at the OCF Website due to the intervening COVID 19 Pandemic, which required the Agency to operate remotely under a modified status. The Agency advised the Chamber that the training on the reporting requirements of Business Contributors is presented in a PowerPoint format at the OCF Website.

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 FY20 and FY21, 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 FY20 and FY21, to date, are reported in the attached Chart of Intra-District and MOU Transfers. (Include purpose) **See Attachment E.**

8. **For FY20 and FY21, 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 FY20, and FY21, to date.

9. **For FY20 and FY21, 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 FY20 and FY21, to date. **See Attachment F.**

10. **Please list all capital projects in the financial plan for the agency or under the agency's purview in FY20 and FY21, to date, and provide an update on each project, including the amount budgeted, actual dollars spent, and any remaining balances (please also include projects for the benefit of the agency that are in the budget of the Department of General Services or another agency). In addition, please provide:**

    a. **A narrative description of all capital projects begun, in progress, or concluded in FY19, FY20, and FY21, to date, including the amount budgeted, actual dollars spent, any remaining balances, and the work undertaken;**
    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 FY19, FY20, and FY21, 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 allotments.**

RESPONSE:

The Office of Campaign Finance did not have any projects for which capital funds were available to the Agency, in FY19, FY20, and FY21, to date.

11. **Please provide a list of all budget enhancement requests (including capital improvement needs), for FY20 and FY21, to date. For each, include a description of the need and the amount of funding requested.**

RESPONSE:

The OCF FY20 Budget proposed the sum of $3,181,272.00 (represents 73% of the total projected costs of $3,828,380.25 for the 2020 Election Cycle which were split across Fiscal Years 2019, 2020, and 2021) to support the estimated costs for the Fair Elections Program for the 2020 Election Cycle during Fiscal Year 2020. The Office of Campaign Finance was not required to request enhancements for Fiscal Year 2020.

The Office of Campaign Finance did request the following three Enhancements in its Fiscal Year 2021 Proposed Budget Submission, which were approved:

1	The Fair Elections Fund for the 2022 Election Cycle: For Fiscal Year 2021, 17% of the Total Projected Costs requested - $3,666,428.32	$21,496,790.80, Total Projected Costs	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, and made applicable upon the inclusion of their fiscal effect in an approved budget and financial plan.	$100,000.00	To upgrade the OCF E-filing and Disclosure System to fully implement the new Covered Contractor Provisions of D.C. Law 22-250, the "Campaign Finance Reform Amendment Act of 2018".
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 the Covered Contractor Provisions of D.C. Law 22-250, the "Campaign Finance Reform Amendment Act of 2018", effective March 13, 2019, and made applicable upon the inclusion of their fiscal effect in an approved budget and financial plan.

More specifically, as you know**,** the Fair Elections Fund is established for the purpose of receiving revenue from certain designated sources, including annual appropriations, in order to provide public financing for the political campaigns of participating candidates in the Fair Elections Program (FEP), and for the administration of the Program. The Fair Elections Program is a voluntary Program established within the Office of Campaign Finance and is available to candidates who agree to lower contribution limits, restrictions on the sources of contributions, and a debate requirement in contested city-wide races. Each year, the Office of Campaign Finance must submit in time for inclusion in the Mayor's budget and financial plan, 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 2020 Election Cycle was the first election cycle during which public funds were made available to local campaigns.

The Fair Elections Act provides for the public financing of campaigns through the distribution of a combination of lump sum Base Amount and Matching Payments to candidates who are certified by the Agency to participate in the Program. *See D.C. Official Code §§ 1-1163.32d and 1-1163.32e.* The Base Amount payments are prescribed by the Act dependent upon the covered office sought, as follows:

(1) $160,000 for the Office of Mayor.
(2) $40,000 for the Office of Attorney General.
(3) $40,000 for the Office of Chairman of the Council.
(4) $40,000 for the Office of Councilmember elected at-large and from a ward; and
(5) $10,000 for the Office of State Board of Education elected at-large and from a ward.

The payment of Matching Funds is based on the number of Qualified Small Dollar Contributions (QSDCs) received by a participating candidate from individual residents of the District of Columbia. 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 Regulations 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 authorizes base amount payments only in contested elections. Specifically, D.C. Official Code § 1-1163.32e (d) requires for the covered offices of Mayor and Chairman of the Council, to reflect on and calculate the expenditures of the winning candidates in the prior four (4) election cycles; for the covered office of Attorney General, to reflect on and calculate the expenditures of the winning candidates in all prior election cycles until such time as four election cycles for that office have been reached; and for the covered offices of Member of the Council elected at-large, and by ward, and for Member of the State Board of Education elected at-large, and by ward, to reflect on and calculate the average expenditures of the winning candidates for the respective offices in the prior two election cycles.

As stated previously, however, a candidate seeking certification as a participating candidate in the Fair Elections Program, who is entitled to receive public funds, must comply with the contribution limits set by D.C. Official Code § 1-1163.32b (a), and meet the threshold requirements established by D.C. Official Code § 1-1163.32 (a), during the qualifying period, as follows:

(1) Obtain the following:

a. If a candidate for Mayor, qualified small dollar contributions of $200 or less from at least 1,000 small dollar contributors who are District resident individuals, which in the aggregate total $40,000 or more.
b. If a candidate for Attorney General, qualified small dollar contributions of $200 or less from at least 500 small dollar contributors who are District resident individuals, which in the aggregate total $20,000 or more.
c. If a candidate for Chairman of the Council, qualified small dollar contributions of $200 or less from at least 300 small dollar contributors who are District resident individuals, which in the aggregate total $15,000 or more.
d. If a candidate for Member of the Council elected at-large, qualified small dollar contributions of $100 or less from at least 250 small dollar contributors who are District resident individuals, which in the aggregate total $12,000 or more.

e. If a candidate for Member of the Council elected from a ward, or Member of the State Board of Education elected at-large, qualified small dollar contributions of $50 or less from at least 150 small dollar contributors who are District resident individuals, which in the aggregate total $5,000 or more; and

f. If a candidate for Member of the State Board of Education elected from a ward, qualified small dollar contributions of $20 or less from at least 50 small dollar contributors who are District resident individuals, which in the aggregate total $1,000 or more.

(2) File the requisite affidavit signed by both the candidate and the treasurer of the candidate's principal campaign committee.

Therefore, certification in the Program is dependent upon compliance with the foregoing requirements on or before the expiration of the qualifying period for the election the candidate is seeking to participate in.

The covered offices scheduled for election during 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). To determine the estimates for the amount of public funds needed 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, the most recent completed election cycle for these offices, times the matching fund cap for the respective covered offices. For the projected base amount payments required for the 2022 Election Cycle,

the Agency multiplied the statutory amounts for the respective covered offices also by 50% of the number of candidates who participated in the 2018 Election Cycle and qualified for ballot access. More specifically, it is anticipated that at a minimum, at least 50% (27) of the number of candidates who participated in the 2018 Election Cycle and qualified for ballot access (48), will qualify for certification in the Fair Elections Program.
Therefore, the OCF projected, at a minimum, the total sum of $21,567,225.40 would be required to support the Elections Fund for the 2022 Election Cycle, which sum includes $20,157,225.40 for matching payments, and $1,410,000.00 for base amount payments. These projections assume all 27 candidates anticipated to seek certification in the Program, based on the participation in the 2018 Election Cycle, the most recent Election Cycle for the covered offices to be elected during 2022, will meet the maximum caps calculated for the matching payments allowed for the respective covered offices, and that all 27 candidates will be entitled to the payment of the Base Amount specified for the respective covered offices.

The 2022 Election Cycle will cross Fiscal Years 2021, 2022, and 2023, and to ensure the availability of public funds during this timeframe, the allocation of the sum of $21,567,225.40 was recommended during these Fiscal Years based on the activity anticipated 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. The sum of $3,666,428.32 is included in the OCF Approved Fiscal Year 2021 Budget; and the sum of $15,744,054.54 is proposed for the Elections Fund in the Fiscal Year 2022 proposed OCF Budget.

Briefly, by way of background, the estimated costs for the FEP Program during Election Cycle 2020 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 FY 19, a total of seven (7) 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 in FY 19 for Base Amount and Matching Payments in the total sum of $368,615.10. During FY 20, 49 additional candidates registered their intent to participate in the Program, and only 31 of these candidates were subsequently certified in the FEP. The Office of

Campaign Finance authorized the disbursement of $2,863,239.25 in FY 20 for participating candidates in the 2020 Election Cycle, with the sum of $618,789.10 carried over and recorded in the CJO's Fiscal Year 2021 FEP Budget on November 19, 2020. Only five of the participating candidates in the 2020 Election Cycle reached the matching cap for the covered office sought, which may also account for the funds remaining at the end of Fiscal Year 2020. In addition, during FY 20, a Special Election was conducted on June 16, 2020 to fill the vacancy created by the resignation of the Member of the Council from Ward 2. The additional sum of $700,000.00 was allocated for the base amount and matching payments anticipated for the Special Election. The Office of Campaign Finance authorized the payment of $345,301.65 in public funds during the Special Election Cycle, and the remaining sum of $354,698.35 was returned to the Treasury.

Overall, during Fiscal Years 2019, 2020, and 2021, to date, the total sum of $3,671,495.99 has been expended from the Fair Elections Fund for the payment of Base Amounts and Matching Payments for the 2020 Election Cycle. The sum of $3,671,495.99 does not include the expenditures of $345,301.65 from the allocation of $700,000.00 to fund the costs of the June 16, 2020 Special Election. As stated previously, the estimated costs for the 2020 Election Cycle were split as follows: 17% ($550,000) (actual expenditures: $368,615.10) in FY19; 73% ($3,181,272) (actual expenditures: $2,863,239.25) 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) (actual expenditures: $$439,641.64) in FY21. Thus far, the actual expenditures have fallen below the cost projections for the 2020 Election Cycle, which provided for the maximum payout amounts for base and matching funds for the maximum number of candidates anticipated to qualify as participating candidates in the Fair Elections Program. Again, only five (5) of the 32 certified candidates in the 2020 Election Cycle reached the maximum matching cap; however, the number of qualified small dollar contributions collected by the participating candidates in all likelihood was affected by the challenges of fundraising during a pandemic.

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 last date also for the qualification of small dollar contributions for match. 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 seats 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. Following the expiration of the qualifying periods, candidates will no longer be able to qualify for certification to participate in the Fair Elections Program during the 2022 Election Cycle.

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. There are twenty-four (24) filing deadlines during Election Cycle 2022 for the submission of financial reports in the Fair Elections Program which may require the disbursement of base amount and matching payments, as follows: in Fiscal Year 2021, four (4) filing deadlines on (mandatory) January 31st and July 31st, and on (optional) August 31st and September 30th; in Fiscal Year 2022, 18 filing deadlines on (mandatory) October 10th, December 10th, January 31st, March 10th, April 10th, May 10th. 8 Day Pre-Primary Report, June 10th, and August 10th, and on (optional) October 31st, January 10th, February 10th, March 30th, April 30th, June 30th July 10th , August 31st, and September 30th ; and in Fiscal Year 2023, two (2) filing deadlines on (mandatory) October 10th and 8 Day Pre-General Election Report.

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 upon the inclusion of their fiscal effect in an approved budget and financial plan. These provisions will govern the political contributions of covered contractors. To fully implement the provisions, the Office of Campaign Finance requested the following enhancements in the Fiscal Year 2021 Budget for the Agency, which were approved: 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; and three (3) additional Full Time Continuing Positions to meet the added responsibilities imposed by this legislation: one (1) Auditor Position, CS-12, Step 1 ($76,126.00); one (1) Attorney Position, LS-12, Step 1 ($86,366.00); and one (1) Information Technology Specialist, CS-11, Step 1 ($61,521.00).

12. **Please list, in chronological order, every reprogramming in FY20 and FY21, 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 was one (1) approved reprogramming of funds in FY20, and to date, none in Fiscal Year 2021, at the Agency's request. The reprogramming moved funds within the Agency, and the revised, final budget for the Agency for FY20 was not affected. In addition, there were two (2) instances where Fair Elections Funds were moved from Local Lapsing Fund Detail 0100 to the Non-Lapsing Local Fund Detail 0101 – the Fair Elections Fund, to properly realign resources in accordance with the Fair Elections Act.

First, on February 4, 2020, the sum of $3,648,561.62 of Fiscal Year 2020 Local Funds budget authority within the Agency, Fair Election funds, were moved 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.

Second, the sum of $440,160.00 of Fiscal Year 2020 Local Funds budget authority within the Agency was moved from Local Lapsing to the Non-Lapsing Local Fund – 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.

Third, approved May 3, 2020, the Agency requested the reprogramming of $212,023.00 of Fiscal Year 2020 Local Funds budget authority within the Agency from Personal Services to Non-Personal Services to cover the administrative costs of moderating the first Debates under the Fair Elections Act, including the procurement of public relations services and advertising costs. See **Attachment G**, the Chart of FY20 and FY21, to date, Reprogramming.

13. **Please list each grant or sub-grant received by your agency in FY20 and FY21, to date. List the date, amount, source, purpose of the grant or sub-grant received, and amount expended.**

The Office of Campaign Finance did not receive any grant or sub-grant in FY20 and FY21, to date.

a. **How many FTEs are dependent on grant funding?**
b. **What are the terms of this funding?**
c. **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 FY20 and FY21, 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 FY20 and FY21, to date.

15. **Please list each contract, procurement, and lease, entered into or extended and option years exercised, by your agency during FY20 and FY21, 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, extended, and option years exercised, by the Office of Campaign Finance during FY20 and FY21, to date, is attached, with the requested information provided for each. **See Attachment H.**

16. **Please list and describe all pending lawsuits that name the agency as a party in FY20 and FY21, to date, and include an explanation about the issues involved in each case. Identify which cases on the list are lawsuits that potentially expose the District to significant financial liability or could result in a change to agency practices, and describe the current status of the litigation.**

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. The employee was terminated for illegally transporting a four (4) year old child in a District Government vehicle without a child safety seat in violation of agency and District of Columbia Regulations prohibiting the transport of non-government employees, and District of Columbia Municipal Regulations requiring that all children under the age of eight (8) years old riding in motor vehicles in the District be secured in a child safety or booster seat. 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. On July 10, 2020, the Court dismissed the Plaintiff's First Amendment claim leaving him with the Whistleblower Protection Act and the Human Rights Act claims. The Court referred the matter to the Circuit Executive Mediation Program on November 23, 2020. The mediation was adjourned by the Circuit Mediation for Federal Courts of the D.C. Circuit and reconvened on December 5, 2020. The Mediation was unsuccessful, and the case remains pending. No further information has been provided.

17. **Please list all judgments against and settlements executed by the agency or by the District on behalf of the agency, in any amount, in FY20 or FY21, to date, and provide the parties' names, the date on which the judgment was issued or settlement was executed, the amount of the judgment or settlement, and if related to litigation, the case name, docket number, and a brief description of the case. Include non-monetary costs such as backpay and leave restoration. If unrelated to litigation, please describe the underlying issue or reason for the judgment or settlement (e.g. excessive use of force, wrongful termination, sexual harassment). Please also describe any matters which are currently in settlement negotiations or for which a judgment is imminent.**

RESPONSE:

During FY20, 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. 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.

(2) 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.

(3) OCF v. Karen Williams (OCF 2018 C- 052 and OCF 2019-C-019) Failure to Timely File Reports of Receipts and Expenditures. The Settlement Agreement for $3,000.00 was reached on July 17, 2020. Fines were paid on July 23, 2020.

(4) 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 employee was awarded backpay and the complaint was withdrawn.

18. **Did the agency use outside counsel in FY20 or FY21, to date? If so, for what matter(s) and in what amounts?**

RESPONSE:

The Agency did not use outside counsel in FY20 or FY21, to date, other than the 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 FY20 and FY21, 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 FY20 and FY21, to date describe the resolution.**

RESPONSE:

The Office of Campaign Finance did receive administrative complaints or grievances in FY20 and FY21, 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 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 FY20 and FY21, 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 receive one (1) administrative complaint alleging discrimination in FY 20, and none in FY 21, 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 who has been 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. On February 27, 2020, the employee filed a complaint with the DC Office of Human Rights, Docket No: 20-240 DC (CN) and the EEOC Docket No: 10C-2020-00227, alleging discrimination based upon Sex and Retaliation. The OHR conducted a Mandatory Mediation on May 20, 2020, but the matter was not resolved. The case remains pending.

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 FY20 or FY21, 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 FY20 or FY21, 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 FY20 and FY21, 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 FY20 and FY21, 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 during FY20 and FY22, 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 the Order of the Director was issued on December 17, 2019.

By correspondence dated November 13, 2020, the Office of the District of Columbia Auditor notified the Office of Campaign Finance of its initiation of the audit of the Fair Elections

Program as required by D.C. Official Code § 1-1163.32j (b). The Audit will cover the period November 7, 2018 through January 4, 2021. The preliminary objectives of the Audit are to determine whether: (1) The OCF properly administered the FEP by distributing public monies to candidates who met statutory and regulatory requirements for participating in the FEP regarding receipt of contributions, campaign expenditures, and return of unspent funds; and (2) To determine if OCF monitored participating candidates to ensure that they met regulatory requirements for the FEP regarding training, debates, qualification for ballot access, and running for the same seat in both the primary and general election, as applicable. The Audit is ongoing.

23. **Please describe any spending pressures the agency experienced in FY20 and any anticipated spending pressures for the remainder of FY21. Include a description of the pressure and the estimated amount. If the spending pressure was in FY20, describe how it was resolved, and if the spending pressure is in FY21, describe any proposed solutions.**

RESPONSE:

The Office of Campaign Finance did experience spending pressures for FY 20 and does not anticipate spending pressures for the remainder of FY 21. During FY 20, 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, 2020. 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. The Office of Campaign Finance did 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 began on the day the special election was called, January 8, 2020, and ended 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.

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. The Office of Campaign Finance certified four (4) candidates as "participating candidates" in the June 16, 2020 Special Election. The Agency authorized the payment of $345,301.65 in base amount and matching payments of public funds during the Special Election Cycle to these candidates. The remaining sum of $354,698.35 was returned to the Treasury.

24. **Please provide a copy of the agency's FY20 performance plan. Please explain which performance plan objectives were completed in FY20 and whether they were completed on time and within budget. If they were not, please provide an explanation.**

RESPONSE:

The copy of the Fiscal Year 2020 Performance Plan and Report for the Office of Campaign Finance is attached. **See Attachment I.** The Office of Campaign Finance fully achieved all Agency Initiatives on time and within budget as detailed in the Report

25. **Please provide a copy of your agency's FY21 performance plan as submitted to the Office of the City Administrator.**

RESPONSE:

The Fiscal Year 2021 Performance Plan for the Office of Campaign Finance is attached as submitted to the Office of the City Administrator. **See Attachment J.**

26. **Please describe any regulations promulgated by the agency in FY20 or FY21, to date, and the status of each.**

RESPONSE:

During Fiscal Year 2020, and Fiscal Year 2021, to date, the Office of Campaign Finance submitted three (3) Notices of Final Rulemaking to the Board of Elections which were adopted by the Board and published in the D.C. Register.

First, 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.

Second, 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).

Third, on May 15, 2020, the Agency proposed the Notice of Emergency and Proposed Rulemaking to the Board of Elections for adoption on May 6, 2020 to authorize online

mandatory training for new candidates and treasurers, the increase of the time frames for the verification of contributions and the authorization for the disbursement of public funds from five (5) calendar days to five (5) business days (67 DCR 5161; May 15, 2020). The revised Regulations place the Board's Regulations into conformity with the Campaign Finance Reform and Conflict of Interest Public Disclosure Amendment Act of 2011, effective April 27, 2012 (D.C. Law 19-124, 59 DCR 1862 (March 9, 2012)); as amended by the COVID-19 Response Supplemental Emergency Amendment Act of 2020, effective April 10, 2020 (D.C. Act 23-286; 67 DCR 4178 (April 17, 2020)). The Notice of Final Rulemaking was adopted by the Board of Elections on February 3, 2021 and published in the D.C. Register on February 12, 2021 (Volume 68/7).

The specific amendments are as follows:

1. 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.

2. 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

3. Final Rulemaking published on February 12, 2021

(1) Chapter 30, CAMPAIGN FINANCE OPERATIONS: COMMITTEES, CANDIDATES, CONSTITUENT SERVICE PROGRAMS, STATEHOOD FUNDS

Section 3001, MANDATORY TRAINING

§ 3001.1, revised to authorize online training for new candidates and treasurers.

§ 3001.3, revised to require participation in the training within 15 days of registration, or as otherwise scheduled by the OCF.

§ 3001.4, revised to authorize online training for new candidates and treasurers in the Fair Elections Program.

§ 3001.5, revised to authorize online training for the new treasurers of a political committee, political action committee, or an independent expenditure committee.

(2) Chapter 38, LEGAL DEFENSE COMMITTEES

§ 3801 ORGANIZATION OF LEGAL DEFENSE COMMITTEES

§3801.10, revised to authorize the new treasurer of a Legal Defense Committee to participate in the Office of Campaign Finance training program online

(3) Chapter 39, CAMPAIGN FINANCE OPERATIONS: INAUGURAL COMMITTEES

3901 ORGANIZATION OF INAUGURAL COMMITTEES

§3901.10, revised to authorize the new treasurer of an Inaugural Committee to participate in the Office of Campaign Finance training program online.

(4) Chapter 40, CAMPAIGN FINANCE OPERATIONS: TRANSITION COMMITTEES

4001 ORGANIZATION OF TRANSITION COMMITTEES

§ 4001.11, revised to authorize the new treasurer of a Transition Committee to participate in the Office of Campaign Finance training program online.

(5) **Chapter 41, CAMPAIGN FINANCE OPERATIONS: EXPLORATORY COMMITTEES**

4102 ORGANIZATION OF EXPLORATORY COMMITTEES

§ 4102.10, revised to authorize the new treasurer of an Exploratory Committee to participate in the Office of Campaign Finance training program online.

(6) **Chapter 42, FAIR ELECTIONS PROGRAM**

4202, MANDATORY TRAINING

§4202.1, revised to authorize the new candidate and treasurer registered in the Fair Elections Program to participate in the Office of Campaign Finance training program online.

§4202.3, revised to require the candidate to participate in the OCF training program within fifteen (15) calendar days of submitting the Statement of Candidacy form in accordance with §4201, or as otherwise scheduled by the Agency.

§4202.4, revised to require the treasurer to participate in the OCF training program within fifteen (15) calendar days of submitting the Statement of Acceptance of Treasurer form in accordance with § 4203.9, or as otherwise scheduled by the Agency.

4203 PRINCIPAL CAMPAIGN COMMITTEE

§4203.13, is revised to require the treasurer to participate in the Office of Campaign Finance training program pursuant to § 4202 of this chapter within fifteen (15) calendar days of submitting the Statement of Acceptance of Treasurer form in accordance with § 4203.12, or as otherwise scheduled by OCF.

4207 BASE AMOUNT PAYMENTS

§4207.1, revised to require the Director to direct, within five (5) business days after certification of a participating candidate into the FEP, the Office of the Chief Financial Officer to disburse to

the candidate half of the base amount described in § 4207.3, within five (5) business days of receiving notice from the OCF.

§4207.2, revised to require the Director to direct, within five (5) business days after the participating candidate qualifies for the ballot, the Office of the Chief Financial Officer to disburse to the candidate the other half of the base amount described in § 4207.3, within five (5) business days of receiving notice from the OCF.

§4207.6, revised to require the Director where an uncontested election becomes a contested election after a participating candidate is certified, to direct, no later than five (5) business days after the uncontested election becomes a contested election the Office of the Chief Financial Officer to disburse funds to the candidate, within five (5) business days of receiving notice from the OCF as follows:

(a) The first half of the base amount, if the participating candidate has not qualified for the ballot; or

(b) Both halves of the base amount, if the participating candidate has qualified for the ballot.

4208 MATCHING PAYMENTS FOR QUALIFIED SMALL-DOLLAR CONTRIBUTIONS

§4208.7, revised to require the Director, within five (5) business days after receipt of the participating candidate's R&E Report filed with the OCF in accordance with §§ 4212 and 4213, to direct the Office of the Chief Financial Officer to disburse payments to the participating candidate through the use of an electronic funds transfer or debit card within five (5) business days of receiving notice from the OCF.

27. **Please provide the number of FOIA requests for FY20 and FY21, 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 FY20, the Office of Campaign Finance received two (2) FOIA requests, and none in Fiscal Year 2021, as of this date. 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 during FY20 and FY21, 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, 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. The Summary Reports provide the foundation for the Biennial Report of Contributions and Expenditures which the Office of Campaign Finance must publish in an electronic format by December 31st of each odd numbered year, pursuant to the provisions of D.C. Official Code § 1-1163.04 (7)(B), as recently amended. The Biennial 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.

Second, 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 FY20 and FY21, 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 2019 Council on Government Ethics Laws (COGEL) Conference in Chicago, Illinois in December 2019, and the virtual 2020 COGEL Conference. 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 FY20 and FY21, 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 FY20 and FY21, to date, is below. There was only one (1) OCF Employee who earned overtime in FY 20, and none, to date, in FY 21. 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.

FY 20 Overtime Hours

Adriana Lazo (CS-09 FEP Auditor)	Number of OT Hours
October 1, 2019	4 hours
October 10, 2019	2 hours

30. **For FY20 and FY21, 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 FY20 and FY21, to date.

31. **For FY20 and FY21, 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 FY20 and FY21, to date, from the Agency with separation pay.

32. **Please provide the name of each employee who was or is on administrative leave in FY20 and FY21, 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 Office of Campaign Finance did not place any OCF Employees on administrative leave in FY20 and FY21, to date.

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 FY20 or FY21, 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 publish on December 31st , and every other odd numbered year, 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 OCF Biennial Reports for Calendar Years 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 most recent Biennial Report, 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 next Biennial Report is due on December 31, 2021 for the prior two (2) year period of January 1, 2020 to December 30, 2021. 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 date for the publication of the Biennial Report by the Office of Campaign Finance, as required by D.C. Official Code Section 1-1163.04, was changed from January 31st to 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 is 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 June 16, 2020 Special Election, and the second report will be due no later than nine months following the November 3, 2020 General Election. The Office of Campaign Finance is on target to timely publish these reports.

Last, during FY20, 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 20, 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 FY21 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 FY 2020. As OCF transitioned into a Teleworking Status in March 2020 due to the COVID 19 Pandemic, employees who had previously attended DCHR courses onsite adapted quickly to virtual learning. Managers and staff took advantage of the wide range of general and duty specific courses provided by DCHR's Center for Learning and Development (CLD). The CLD also made available learning opportunities provided by their partners to agency employees. Workers utilized the District's Skills Port E-Learning Management System, to participate in more than 33 online courses. More than 5,000 online courses covering a wide range of categories are offered in the program. Employees were able to expand their learning capacity and career advancement. The Professional Development enables employees to better handle their job responsibilities. In doing so, workers are better able to carry out the OCF's and the District's mission and goals.

During October 2020, the General Counsel participated in courses offered by the District of Columbia Bar titled "Traps for the Unwary. The Hatch Act and other Federal Restrictions on Political Activity" and "Changing Currents in 2019, Recent Trends and Developments." The FEP Information Technology Specialist attended several virtual classes offered by the Office of the Chief Technology Officer from April 2020 through September 2020, and the Department of Human Resources titled "Test Prep ITIL 4 Foundation" from January 28, 2020 to March 9, 2020.

37. **Please describe any initiatives that the Agency implemented in FY20 or FY21, 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:

During Fiscal Year 2020, the Office of Campaign Finance implemented several initiatives which improved the internal operations of the Agency, and its interaction with outside parties, including

the candidates and committees which register with the Agency, and the members of the public who expect to be kept abreast of campaign related data and information.

First, the Agency, on November 4, 2019, initiated Requisition No. K140026 ($133,764.00 approximate cost) (awarded March 13, 2020), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Overall, Phase II enables the public to sort, search, and retrieve contribution and expenditure data; and to view registration disclosures and financial report data, quick statistics, and payout information. The Administrative Modules provide applications which store data pertinent to the audit process, payouts, filings, registrations, and the post-election cycle reports.

Briefly, by way of background, the First Phase of the development of the FEP E-Filing System was completed on July 26, 2019. Phase I enables the online submission of financial reports at the OCF Web Site by the candidates and committees who register 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 first candidate registered in the Fair Elections Program on April 7, 2019, and all candidates who registered in the Program 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 development and design of the Second Phase of the FEP E-Filing and Disclosure System focused on providing greater public disclosure of campaign related data, and the expansion of the administrative management of the System. On November 4, 2019, the Agency initiated Requisition No. K140026 ($133,764.00 approximate cost: approved March 13, 2020), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Specifically, Phase II provides Reports, for public viewing and download at the OCF Website, and for administrative use, including the Post-Election Reports of the Agency which are due nine (9) months after an election and will detail the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary Contribution and Expenditure Reports which allow the public to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or expenditure type and purpose; and Administrative Lists of Filers/Non-Filers for a selected report.

A Fair Elections Program Statistics Module has been designed with a Public Search Feature to obtain by Election Year, the total number of registered and certified candidates, the total amount of public fund payments, and the total amount of remissions; the Numbers by Office of candidates registered and certified, with total contributions, and public payments disbursed provided for each; and for the Election Year selected, statistics for the "Top 10 Candidates" by "Number of DC Supporters", "Number of Non-DC Supporters", Total Contributions Received", "Total Expenditures", "Public Funds Received" and "Total Contributions from Self/Family." The OCF Website also offers the public, the "Fair Elections Candidates Payment and Information" Link, which presents "Payments Made To-Date", the "Total Base Payments", the "Total Matching Payments' and "Total Payments Made", in total for all committees combined as well as separately for each committee. Further, access is provided at this Link to the following Reports: Filer Reports; Contributions/Receipts; Expenditures; Audit Reports; Orders; and to the afore-mentioned FEP Statistics.

The FEP Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees enables 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, the public search features allow the link to a candidate's Registration Disclosures, which provides the date of registration, the listing of chairperson and treasurer, public fund payouts by type, amount, and date, financial reports filed, and any audits or orders issued to the committee.
The OCF Administrative Modules include a "Fair Elections Dashboard" available upon login which presents the total number of registered candidates, the total number of active candidates, the total number of candidates who have reached the cap, total numbers for various stages of the certification process, and totals for base amount and matching fund payouts. The FEP Dashboard also lists the FEP candidates, with links to the candidate's registration disclosure, and provides the committee name, the office sought, certification status, base amount and matching fund payouts, and the number of reports filed. Administrative Reports were developed during Phase II

to assist the OCF Staff in the management of the Fair Elections Program. The Flagged Contributions Report enables the Agency to run reports for all filer types to identify the committees which received excessive contributions (in the aggregate), and to research excessive contributions by filer type, filing year and report name. Excessive contributions may be grouped by contributor name; similar sounding names; similar spelling names; and contributor address. The System administratively has 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; and to identify the use by committees of the excel upload feature to file reports, and the template (report schedule) imported by the committee, the import date and time, the total number of records entered and imported, and the number of invalid records and valid but not imported records. Within the committee registration module, the OCF uses a checkoff to identify whether a candidate has attended a required entrance conference, and to generate from the data entered an attendance and non-attendance list; manages the various covered offices under the Fair Elections Program, and assigns the respective applicable election year(s) and contribution limits for each; manages and sets the election (general, primary, and special) dates for applicable covered offices as mandated by law; and creates 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.

The System enables the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement is automatically emailed to the filer for signature along with a link for the filer to create login information. The filer has 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. Last, an online Training module was designed to enable filers to complete the mandatory Entrance Conference Training online.

Second, the Office of Campaign Finance implemented the OCF Debate Program during Fiscal Year 2020. The Fair Elections Program, a voluntary public financing program under the Office of Campaign Finance, was established in 2018. All candidates running in citywide contested elections, who have been certified as "participating candidates" under the FEP, are mandated by law to participate in debates. Consistent therewith, the Office of Campaign Finance hosted the 2020 DC Debates under the Fair Elections Act for the November 3, 2020 General Election city wide contests for the Offices of At-Large Member of the Council of the District of Columbia, and the At-Large Member of the State Board of Education. The Debates were presented in a virtual format, and live streamed at 2020dcdebates.com. The 2020 Debates were the inaugural debates under the Fair Elections Program. All Candidates certified in the Fair Elections Program in these city-wide contests were required to participate in the Debates, and all Candidates who achieved ballot access in the Traditional Campaign Finance Program were invited to participate. On September 29, 2020, the At-Large Member of the State Board of Education (SBOE) Candidate Debate was moderated by Perry Stein, the Washington Post Reporter for Education, and a total of **6** Candidates participated (1 FEP Candidate and 5 Traditional Program Candidates). The September 29th and 30th, 2020 Debates for At-Large Member of the Council (CC) were moderated by the Washington Post Reporter, Fenit Nirappil, and a total of **18** Candidates participated (10 FEP Candidates and 8 Traditional Program Candidates). The Debate Schedule was, as follows:

- Debate 1 – September 29, 2020, 4:30 PM – 6:00 PM (6 Participants) (SBOE)
- Debate 1 – September 29, 2020, 7:30 PM – 9:00 PM (5 Participants) (CC)
- Debate 2 – September 30, 2020, 5:00 PM – 6:30 PM (7 Participants) (CC)
- Debate 3 – September 30, 2020, 8:00 PM – 9:30 PM (6 Participants) (CC)

The Office of Campaign Finance, notwithstanding the challenges of the COVID 19 Pandemic, successfully advertised, scheduled, and hosted the first debates under the Fair Elections Act in a virtual format to provide District Residents with the opportunity to hear directly from the candidates for public office in the November 3, 2020 General Election. American Sign Language (ASL) and Spanish Language Interpreters were provided for all scheduled virtual 2020 DC Debates. Advertisements for the Debates were placed on bus exteriors on various routes throughout the DC area, and on fifteen (15) area radio stations, and digital ads were placed on

the internet. For the digital buy – 2.1 million ads were served, and over 2,500 people clicked on the ads taking them to the website, resulting in a solid response. The advertisements prepared for release on the radio stations resulted in 191 spots running for over two weeks on WASH-FM, WBIG-FM, WDCH-FM, WHUR-FM, WITH-FM, WKYS-FM, WMMJ-FM, WMZO-FM, WOL-AM, WPRS-FM, WTEM-AM, WTOP-FM, WWDC-FM, WAMU-FM, and WLZL-FM. Press Releases and Information on the debates was also posted on the Website at 2020dcdebates.com, and listed the name, headshot photograph, and a brief description of the campaign platform for each registered participant. The Press Releases were disseminated to all candidates appearing on the November 3, 2020 General Election Ballot, and to the public on September 9, 2020, and on September 28, 2020. There were 14 Partners affiliated with the 2020 DC Debates, namely: Fair Budget Coalition; DC Action for Children; HBCU Collective; Community Enrichment Project; Washington Area Bicyclist Association; Advisory DC Jobs with Justice; Federation of Citizens Associations of the District of Columbia; Dupont Circle Federation of Civic Associations; and Breath DC.

The videos of the 2020 Debates were made available at the OCF 2020 DC Debates Website www.2020dcdebates.com for viewing through the November 3, 2020 General Election. For those two (2) Candidates who were unable to participate in the Debates due to technical difficulties, the Agency forwarded Notices to the affected Candidates on October 5, 2020 by email, extending the opportunity for the Candidates to provide responses in writing to the questions posed to the candidates who were present during the debates. The Responses of the Candidates were posted at the OCF Website alongside the video of the debate for which the respective candidates were scheduled.

The Office of Campaign Finance retained the services of a public relations firm to facilitate and assist the OCF in shaping the first time citywide virtual inaugural debate event hosted by the Agency. The Contract was awarded on August 25, 2020 for the approximate cost of $172,486.00. The brand selected for the OCF hosted virtual debates was "2020 DC Debates." The complete list of registered participant candidates for the 2020 DC Debates was published on the Debate Website at 2020dcdebates.com and the OCF Website.

Third, the Office of Campaign Finance continued to develop and employ Public Service Announcements, Radio and Digital Ads, and Videos to increase the scope of its outreach to the public, and to more effectively educate the residents of the District of Columbia about the Fair Elections Program, and as previously discussed, any scheduled candidate debates. The Agency requested and received confirmation on January 24, 2020 of the continued airing of the PSA on WTOP; and requested and confirmed 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. At the end of May 2020, the Agency coordinated the placement of 30-second and 60-second Public Service Announcements at the DCTV Channels through November 2, 2020. The Agency also begin to publish Charts of the FEP and Traditional Candidates at the OCF Website pending the development of the Second Phase of the FEP E-Filing and Disclosure System, on March 9, 2020.

In addition, as you know, 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, 2020. 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. Consequently, the Office of Campaign Finance was required to immediately prepare for the registration of potential candidates interested in participating in the Ward 2 Special Election. The Agency adjusted the E-Filing Systems for both the Traditional and the FEP Programs to manage the filing dates and contribution limits for the Special Election; developed the calendar for the filing of Receipts and Expenditures Reports for the Election, and included the reporting requirements in the Mandatory Entrance Conferences scheduled for new candidates and treasurers; and developed the "Fair Elections Program Fact Sheet for Ward 2 Special Election for 2020". The Brochure was published at the OCF Website on January 27, 2020. Moreover, the Office of Campaign Finance did 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 began on the day the special election was called, January 8, 2020, and ended 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, a 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.

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. The Office of Campaign Finance certified four (4) candidates as "participating candidates" in the June 16, 2020 Special Election. The Agency authorized the payment of $345,301.65 in base amount and matching payments of public funds during the Special Election Cycle to these candidates. The remaining sum of $354,698.35 was returned to the Treasury.

Fourth, the Fair Elections Division, as the result of the onset of the COVID-19 pandemic in March 2020, offered one on one virtual training and technical assistance through meetings conducted with 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. On each deadline for the filing of financial reports, the FEP Division offered technical assistance to users on the use of the FEP E-Filing System to report campaign activity.

The FEP program received and desk reviewed 303 financial reports online, with 77 Requests for Additional Information issued. Each contribution reported was verified for compliance with the reporting requirements.

Further, the Agency, during Fiscal Year 2020, through rulemaking, mandatory and public training, Notices at the OCF Web Site, and the revision of OCF Forms Brochures, and Training Materials, continued to keep the public informed 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, as amended, by D.C. Law 23-0016, the "Fiscal Year 2020 Budget Support Act of 2019," effective September 11, 2019. The amendments, 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. The Fair Elections Act was further amended to establish the minimum contribution amount available for match; to add October 10th as a report date for FEP candidates preceding the date of an election; to authorize in lieu of "physical or electronic signature," FEP contributors to note their signature by affirmation or swearing by "an indication including by clicking a checkbox or button;" and to change the timeframes for the completion of certain tasks by five (5) days or five (5) business days to "10 business days" for the initiation of the appeal process and the completion of the certification process, and from five (5) days to "five (5) business days" for direction by OCF to the Office of the Chief Financial Officer for payment of the base amount following certification, or the payment of matching funds following the verification of any other financial report; to authorize any candidate qualified for ballot access to participate in the debates; and to authorize the donation of campaign equipment valued at $50 or more to a non-profit organization.

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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.

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On May 15, 2020, the Agency proposed the Notice of Emergency and Proposed Rulemaking to the Board of Elections for adoption on May 6, 2020 to authorize online mandatory training for new candidates and treasurers, the increase of the time frames for the verification of contributions and the authorization for the disbursement of public funds from five (5) calendar days to five (5) business days (67 DCR 5161; May 15, 2020). The revised Regulations place the Board's Regulations into conformity with the Campaign Finance Reform and Conflict of Interest Public Disclosure Amendment Act of 2011, effective April 27, 2012 (D.C. Law 19-124, 59 DCR 1862 (March 9, 2012); as amended by the COVID-19 Response Supplemental Emergency Amendment Act of 2020, effective April 10, 2020 (D.C. Act 23-286; 67 DCR 4178 (April 17, 2020)). The Notice of Final Rulemaking was adopted by the Board of Elections on February 3, 2021 and published in the D.C. Register on February 12, 2021 (Volume 68/7).

The Agency broadened the scope of its existing Public Training Program to incorporate virtual Mandatory Training Conferences for new registrants (candidates and treasurers). Eighty-nine (89) new Treasurers and ninety-six (96) new Candidates completed the Mandatory Entrance Conference online and received instruction on their duties and responsibilities under the Campaign Finance Act. The Agency also revised the ANC Training Guide at the OCF Website and directed a link to the Tutorial by email to approximately 400 of the 423 candidates for the

Office of Advisory Neighborhood Commission member who registered with the Board of Elections and provided an email address.

As the Committee was previously advised, 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. During Fiscal Year 2019, 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. 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.

During Fiscal Year 2020, the Agency participated in one (1) ANC community outreach activity (ANC 4D- October 12, 2019), and appeared on the Agendas of three (3) ANCs during October of 2020 (ANC 4A02- October 1, 2019; ANC 2C01 – October 8, 2019; ANC 3B – October 10, 2019), six (6) ANCs during February of 2020 (ANC 8A – February 2, 2020; ANC 6E – February 4, 2020; ANC 4C – February 12, 2020; ANC 3F - February 18, 2020; ANC 7B - February 20, 2020; and ANC 2A – February 24, 2020), and one in March of 2020 (ANC 4A – March 3, 2020) to introduce the Fair Elections Program. Thereafter, due to the COVID-19 pandemic, the Agency forwarded emails to the 29 Advisory Neighborhood Commissions, previously not visited, and requested that the OCF be placed on the Agendas of the Commissions to attend their virtual meetings and present information on the Fair Elections Program. The Agency participated in one (1) virtual meeting with ANC 4D on September 16, 2020, and continued to use its social media platforms to keep the public informed of the Inaugural Debates scheduled in September 2020 for the city-wide contests, and any other information of interest to the District Residents relative to the activity in the Office of Campaign Finance, including community appearances, filing deadlines, and the availability of financial reports for review online.

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 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 participated 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 October 24, 2019, February 20, 2020, and September 3, 2020. The OCF Managers also met individually with members of the Planning Commission.

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.

Further, 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 ($91,280 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 enables 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. The new audit software package (TeamMate) streamlined the audit process by creating a paperless storage system for all projects within the Audit Division. The software allows the Audit staff to communicate with political committees through an internal control procedure "document request." During Fiscal Year 2020, the software was configured by the Audit Division, and the end user training was completed. The program was up and running by February 1, 2020.

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.

Last, the Fair Elections Division initiated the Post-Election Audit Program for the campaign operations of the ten (10) candidates who were certified and participated in the June 2, 2020 Primary Election, and did not proceed to the November 3, 2020 General Election; and the four (4) candidates who were certified and participated in the June 16, 2020 Special Election. The Audits were initiated by correspondence dated June 19, 2020 for the Primary Election Candidates, and July 6, 2020 for the Special Election Candidates , which required the Candidates to submit all of their financial records to the Office of Campaign Finance from the date of the respective registration of the principal campaign committee to the date of the Election. The

audits are ongoing. The audits will ensure the proper use of public funds received by candidates certified to participate in the Fair Elections Program during the 2020 Election Cycle.

38. What are the agency's top five priorities? Please explain how the agency expects to address these priorities in the remainder of FY21. How did the agency address its top priorities listed for this question last year?

RESPONSE:

I. <u>FY20 PRIORITIES</u>

Prior to the discussion of the Fiscal Year 2020 Priorities accomplished by the Office of Campaign Finance, it is incumbent upon the Agency to recognize the success of the implementation of the Fair Elections Program during the 2020 Election Cycle, the first election cycle of the Program, and the 2020 Special Election Cycle. There were twenty (20) candidates certified as "participating candidates" in the Fair Elections Program for the November 3, 2020 General Election; twelve (12) Candidates certified as "participating candidates" in the June 2, 2020 Primary Election; and four (4) Candidates certified as "participating candidates" in the June 16, 2020 Special Election. The certification of candidates seeking participation in the Fair Elections Program provides the financial ability and impetus for those individuals who may not have otherwise considered elective office to compete in the electoral process, while also amplifying the voice of the qualified small dollar resident individual contributor whose contribution is matched.

Moreover, the following FEP candidates were elected to public office in the November 3, 2020 General Election and certified as winners by the Board of Elections on December 2, 2020:

1. Christina D. Henderson, At-Large Member of the Council
2. Janeese Lewis George, Ward Four Member of the Council
3. Trayon White, Ward Eight Member of the Council
4. Allister Chang, Ward Two Member of the State Board of Education
5. Frazier O'Leary, Ward Four Member of the State Board of Education
6. Eboni-Rose Thompson, Ward Seven Member of the State Board of Education
7. Carlene D. Reid, Ward Eight Member of the State Board of Education

As of February 10, 2021, the total sum of **$4,016,797.64** has been disbursed from the Elections Fund in Base Amount and Matching Payments, to the thirty-six (36) candidates who were

certified in the Fair Elections Program to participate in the June 2, 2020 Primary Election, the June 16, 2020 Special Election, and the November 3, 2020 General Election.

The top priorities listed for the Agency in Fiscal Year 2020, 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:

Development and design of Phase II of the FEP E-Filing and Disclosure System. During FY 20, the Office of Campaign Finance on November 4, 2019 initiated Requisition No. K140026 ($133,764.00 approximate cost) (awarded March 13, 2020), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Overall, Phase II enables the public to sort, search, and retrieve contribution and expenditure data; and to view registration disclosures and financial report data, quick statistics, and payout information. The Administrative Modules provide applications which store data pertinent to the audit process, payouts, filings, registrations, and the post-election cycle reports.

Briefly, by way of background, the First Phase of the development of the FEP E-Filing System was completed on July 26, 2019. Phase I enables the online submission of financial reports at the OCF Web Site by the candidates and committees who register 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 first candidate registered in the Fair Elections Program on April 7, 2019, and all candidates who registered in the Program 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 development and design of the Second Phase of the FEP E-Filing and Disclosure System focused on providing greater public disclosure of campaign related data, and the expansion of the administrative management of the System. On November 4, 2019, the Agency initiated Requisition No. K140026 ($133,764.00 approximate cost: approved March 13, 2020), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Specifically, Phase II provides Reports, for public viewing and download at the OCF Website, and for administrative use, including the Post-

Election Reports of the Agency which are due nine (9) months after an election and will detail the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary Contribution and Expenditure Reports which allow the public to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or expenditure type and purpose; and Administrative Lists of Filers/Non-Filers for a selected report. A Fair Elections Program Statistics Module has been designed with a Public Search Feature to obtain by Election Year, the total number of registered and certified candidates, the total amount of public fund payments, and the total amount of remissions; the Numbers by Office of candidates registered and certified, with total contributions, and public payments disbursed provided for each; and for the Election Year selected, statistics for the "Top 10 Candidates" by "Number of DC Supporters", "Number of Non-DC Supporters", Total Contributions Received", "Total Expenditures", "Public Funds Received" and "Total Contributions from Self/Family". The OCF Website also offers the public, the "Fair Elections Candidates Payment and Information" Link, which presents "Payments Made To-Date", the "Total Base Payments", the "Total Matching Payments' and "Total Payments Made", in total for all committees combined as well as separately for each committee. Further, access is provided at this Link to the following Reports: Filer Reports; Contributions/Receipts; Expenditures; Audit Reports; Orders; and to the afore-mentioned FEP Statistics.

The FEP Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees enables 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, the public search features allow the link to a candidate's Registration Disclosures, which provides the date of registration, the listing of chairperson and treasurer, public fund payouts by type, amount, and date, financial reports filed, and any audits or orders issued to the committee.

The OCF Administrative Modules include a "Fair Elections Dashboard" available upon login which presents the total number of registered candidates, the total number of active candidates, the total number of candidates who have reached the cap, total numbers for various stages of the certification process, and totals for base amount and matching fund payouts. The FEP Dashboard also lists the FEP candidates, with links to the candidate's registration disclosure, and provides the committee name, the office sought, certification status, base amount and matching fund payouts, and the number of reports filed. Administrative Reports were developed during Phase II to assist the OCF Staff in the management of the Fair Elections Program. The Flagged Contributions Report enables the Agency to run reports for all filer types to identify the committees which received excessive contributions (in the aggregate), and to research excessive contributions by filer type, filing year and report name. Excessive contributions may be grouped by contributor name; similar sounding names; similar spelling names; and contributor address.

The System administratively has 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; and to identify the use by committees of the excel upload feature to file reports, and the template (report schedule) imported by the committee, the import date and time, the total number of records entered and imported, and the number of invalid records and valid but not imported records. Within the committee registration module, the OCF uses a checkoff to identify whether a candidate has attended a required entrance conference, and to generate from the data entered an attendance and non-attendance list; manages the various covered offices under the Fair Elections Program, and assigns the respective applicable election year(s) and contribution limits for each; manages and sets the election (general, primary, and special) dates for applicable covered offices as mandated by law; and creates 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.

The System enables the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement is automatically

emailed to the filer for signature along with a link for the filer to create login information. The filer has 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. Last, an online Training module was designed to enable filers to complete the mandatory Entrance Conference Training online.

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. During Fiscal Year 2020, the Office of Campaign Finance continued to develop and employ Public Service Announcements, Radio and Digital Ads, and Videos to increase the scope of its outreach to the public, and to more effectively educate the residents of the District of Columbia about the Fair Elections Program, and as previously discussed, any scheduled candidate debates. The Agency requested and received confirmation on January 24, 2020 of the continued airing of the PSA on WTOP; and requested and confirmed 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. At the end of May 2020, the Agency coordinated the placement of 30-second and 60-second Public Service Announcements at the DCTV Channels through November 2, 2020. The Agency also begin to publish Charts of the FEP and Traditional Candidates at the OCF Website pending the development of the Second Phase of the FEP E-Filing and Disclosure System, on March 9, 2020. In addition, as you know, 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, 2020. 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. Consequently, the Office of Campaign Finance was required to immediately prepare for the registration of potential candidates interested in participating in the Ward 2 Special Election. The Agency adjusted the E-Filing Systems for both the Traditional and the FEP Programs to manage the filing dates and contribution limits for the Special Election; developed the calendar for the

filing of Receipts and Expenditures Reports for the Election, and included the reporting requirements in the Mandatory Entrance Conferences to be scheduled for new candidates and treasurers who registered in the Election; and developed the "Fair Elections Program Fact Sheet for Ward 2 Special Election for 2020". The Brochure was published at the OCF Website on January 27, 2020. Moreover, the Office of Campaign Finance did 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 began on the day the special election was called, January 8, 2020, and ended 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, a 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.

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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. The Fair Elections Division, as the result of the onset of the COVID 19 Pandemic in March 2020, offered one on one virtual training and technical assistance through meetings conducted with 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. On each deadline for the filing of financial reports, the FEP Division offered technical assistance to users on the use of the FEP E-Filing System to report campaign activity. Overall, during FY 20, approximately 303 financial reports were successfully filed in the FEP program online, and desk reviewed, with 77 Requests for Additional Information issued. Each contribution reported was verified for compliance with the reporting requirements.

Dissemination of Information about Recent Amendments to the Campaign Finance Act. During Fiscal Year 2020, the Agency through rulemaking, mandatory and public training, Notices at the OCF Web Site, and the revision of OCF Forms Brochures, and Training Materials, continued to keep the public informed 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, as amended, by D.C. Law 23-0016, the "Fiscal Year 2020 Budget Support Act of 2019", effective September 11, 2019. The amendments, 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

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mandatory training for new candidates and treasurers, the increase of the time frames for the verification of contributions and the authorization for the disbursement of public funds from five (5) calendar days to five (5) business days (67 DCR 5161; May 15, 2020). The revised Regulations place the Board's Regulations into conformity with the Campaign Finance Reform and Conflict of Interest Public Disclosure Amendment Act of 2011, effective April 27, 2012 (D.C. Law 19-124, 59 DCR 1862 (March 9, 2012)); as amended by the COVID-19 Response Supplemental Emergency Amendment Act of 2020, effective April 10, 2020 (D.C. Act 23-286; 67 DCR 4178 (April 17, 2020)). The Notice of Final Rulemaking was adopted by the Board of Elections on February 3, 2021 and published in the D.C. Register on February 12, 2021 (Volume 68/7).

In support of the OCF Educational Program during Fiscal Year 2020, the Agency continued its outreach to the Advisory Neighborhood Commissions, incorporated virtual training in the Mandatory Entrance Conference Program, and utilized the services of the FEP Planning Committee. As the Committee was previously advised, the Office of Campaign Finance established the Advisory Neighborhood Commission (ANC) Educational Outreach Initiative during Fiscal Year 2019 to reach a wider audience for the dissemination of information about the new Fair Elections Program. The Agency 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. 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.

During Fiscal Year 2020, the Agency participated in one (1) ANC community outreach activity (ANC 4D- October 12, 2019), and appeared on the Agendas of three (3) ANCs during October of 2020 (ANC 4A02- October 1, 2019; ANC 2C01 – October 8, 2019; ANC 3B – October 10, 2019), six (6) ANCs during February of 2020 (ANC 8A – February 2, 2020; ANC 6E – February 4, 2020; ANC 4C – February 12, 2020; ANC 3F - February 18, 2020; ANC 7B - February 20, 2020; and ANC 2A – February 24, 2020), and one (1) ANC in March of 2020 (ANC 4A – March 3, 2020) to introduce the Fair Elections Program. Thereafter, due to the COVID Pandemic, the

Agency forwarded emails to the 29 Advisory Neighborhood Commissions, previously not visited, and requested that the OCF be placed on the Agendas of the Commissions to attend their virtual meetings and present information on the Fair Elections Program. The Agency participated in one (1) virtual meeting with ANC 4D on September 16, 2020, and continued to use its social media platforms to keep the public informed of the Inaugural Debates scheduled in September 2020 for the city-wide contests, and any other information of interest to the District Residents relative to the activity in the Office of Campaign Finance, including community appearances, filing deadlines, and the availability of financial reports for review online.

In addition, during Fiscal Year 2020, the Agency broadened the scope of its existing Public Training Program to incorporate virtual Mandatory Training Conferences for new registrants (candidates and treasurers). Eighty- nine new Treasurers and 96 new Candidates completed the Mandatory Entrance Conference online and received instruction on their duties and responsibilities under the Campaign Finance Act. The Agency also revised the ANC Training Guide at the OCF Website and directed a link to the Tutorial by email to approximately 400 of the 423 candidates for the Office of Advisory Neighborhood Commission member who registered with the Board of Elections and provided an email address.

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 participated in a total of thirteen (13) community outreach events and ANC meetings throughout the City, to date, including a meeting with the DC Federation of Civic Associations on November 19, 2019. 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 participated 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 October 24, 2019, February 20, 2020, and September 3, 2020. The OCF Managers also met individually with Members of the Planning Commission.

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.

Further, 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 ($91,280 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 enables 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. The new audit software package (Teammate) streamlined by creating a paperless storage system for all projects within the Audit Division. The software allows the Audit staff to communicate with political committees through an internal control procedure "document request." During FY 20, the

software was configured by the Audit Division, and the end user training was completed. The program was up and running by February 1, 2020.

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.

Last, the Agency during FY 20, 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 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.

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 and completed two (2) full field audits of the campaign operations of candidates newly elected to the State Board of Education following the certification of the 2018 General Election Results. The Audit resulted in the issuance of one (1) Compliance Audit Report and one (1) Non-Compliance Audit Report. The Agency also conducted and completed one (1) full field investigative audit of a Legal Defense Committee which resulted in a Compliance Audit Report.

The Audit Branch completed 769 Desk Reviews of all Reports of Receipts and Expenditures filed with the Agency throughout the Fiscal Year. The Agency initiated seventeen (17) Periodic Random Audits and issued 11 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 2020 Election Cycle; and of the continuing political action committees following the January 31st and July 31st Filing Deadlines.

II. FISCAL YEAR 2021 PRIORITIES

The top priorities for the Agency in Fiscal Year 2021, in no particular order, and how the Agency intends to address those priorities, are as follows:

- The Office of Campaign Finance will develop formats for mandatory and public training conferences, informal hearings, and community outreach in virtual environments to expand the audience of the agency, broaden the community outreach efforts of the Agency, and to continue the business of the Agency.

- The OCF Office of the General Counsel will promulgate new regulations, draft forms, and revise the OCF Guide and Training Materials to fully implement the provisions of the Campaign Finance Reform Amendment Act of 2018, effective March 13, 2019, as amended, when applicable, which will prohibit the receipt of and making of political contributions by business entities and their principals seeking or receiving contracts valued at $250,000 or more from the District Government during certain timeframes, and also require the OCF to notify public officials and campaign treasurers of the new prohibitions. The Agency will also seek the upgrade of the OCF E-Filing and Disclosure System to provide an application to fully implement the covered contractor prohibitions which will require the OCF to identify prohibited contributions through the cross reference of the lists of covered contractors and their principals made publicly available by District contracting authorities, and to notify the contractors and prohibited recipients about potential violations.

- The Office of Campaign Finance will produce, publish at the OCF Website, and submit to the Mayor and the DC Council, the post-election cycle reports due nine

(9) months after the June 16, 2020 Special Election, and the November 3, 2020 General Election. The Reports will list the names of all candidates certified to participate in the Fair Elections Program in these election cycle, and describe for each, the qualified small dollar contributions received, personal funds contributed, remitted funds, and public funds received.

- The Office of Campaign Finance will conduct full field audits of the campaign operations of all candidates certified in the Fair Elections Program to participate in the November 3, 2020 General Election; and of all candidates newly elected to Office in the Traditional Program during the 2020 Election Cycle.

- The Office of Campaign Finance will develop Fact Sheets and other brochures for the 2022 Election Cycle.

39. Please list each new program implemented by the agency during FY 20 and FY 21, 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. <u>FY20 PROGRAMS</u>

First, the Office of Campaign Finance during Fiscal Year 2020 completed and launched the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program (FEP). Overall, Phase II enables the public to sort, search, and retrieve contribution and expenditure data; and to view registration disclosures and financial report data, quick statistics, and payout information. The Administrative Modules provide applications which store data pertinent to the audit process, payouts, filings, registrations, and the post-election cycle reports.

Briefly, by way of background, the First Phase of the development of the FEP E-Filing System was completed on July 26, 2019. Phase I enables the online submission of financial reports at the OCF Web Site by the candidates and committees who register 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. Once the financial report is submitted, the system generates a PDF version of the entire report, which is made available to the public. The first candidate registered in the Fair Elections Program on April 7, 2019, and 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 development and design of the Second Phase of the FEP E-Filing and Disclosure System focused on providing greater public disclosure of campaign related data and information and expanded the administrative management of the System. On November 4, 2019, the Agency initiated Requisition No. K140026 ($133,764.00 approximate cost: approved March 13, 2020), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Specifically, Phase II provides Reports, for public viewing and download at the OCF Website, and for administrative use, including the Post-Election Reports of the Agency which are due nine (9) months after an election and will detail the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary Contribution and Expenditure Reports which allow the public to search to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or expenditure type and purpose; and Administrative Lists of Filers/Non-Filers for a selected report. A Fair Elections Program Statistics Module has been designed with a Public Search Feature to obtain by Election Year, the total number of registered and certified candidates, the total amount of public fund payments, and the total amount of remissions; the Numbers by Office of candidates registered and certified, with total contributions, and public payments disbursed provided for each; and for the Election Year selected, statistics for the "Top 10 Candidates" by "number of DC supporters", "number of non-DC supporters", total contributions received", "total expenditures", "public funds received" and "total contributions from self/family". The OCF Website also offers the public, the "Fair Elections Candidates Payment and Information" Link, which presents "Payments made to-date", the "Total Base Payments," the "Total Matching Payments' and "Total Payments Made", in total for all committees combined as well as separately for each committee. Further, access is provided at this Link to the following Reports: Filer Reports; Contributions/Receipts; Expenditures; Audit

Reports; Orders; and to the afore-mentioned FEP Statistics. The FEP Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees enables 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, the public search features allow the link to a candidate's Registration Disclosures, which provides the date of registration, the listing of chairperson and treasurer, public fund payouts by type, amount, and date, financial reports filed, and any audits or orders issued to the committee.

The OCF Administrative Modules include a "Fair Elections Dashboard" available upon login which presents the total number of registered candidates, the total number of active candidates, the total number of candidates who have reached the cap, total numbers for various stages of the certification process, and totals for base amount and matching fund payouts. The FEP Dashboard also lists the FEP candidates, with links to the candidate's registration disclosure, and provides the committee name, the office sought, certification status, base amount and matching fund payouts, and the number of reports filed. Administrative Reports were developed during Phase II to assist the OCF Staff in the management of the Fair Elections Program. The Flagged Contributions Report enables the Agency to run reports for all filer types to identify committees that received excessive contributions (in the aggregate), and research excessive contributions by filer type, filing year and report name. Excessive contributions may be grouped by contributor name; similar sounding names; similar spelling names; and contributor address. The System administratively has 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; and to identify the use by committees of the excel upload feature to file reports, and the template (report

schedule) imported by the committee, the import date and time, the total number of records entered and imported, and the number of invalid records and valid but not imported records. Within the committee registration module, the OCF uses a checkoff to identify whether a candidate has attended a required entrance conference, and to generate from the data entered an attendance and non-attendance list; manages the various covered offices under the Fair Elections Program, and assigns the respective applicable election year(s) and contribution limits for each; manages and sets the election (general, primary, and special) dates for applicable covered offices as mandated by law; and creates 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.

The System enables the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement is automatically emailed to the filer for signature along with a link for the filer to create login information. The filer has 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. Last, an online Training module was designed to enable filers to complete the mandatory Entrance Conference Training online.

Second, the Office of Campaign Finance implemented the OCF Debate Program during Fiscal Year 2020. The Fair Elections Program, a voluntary public financing program under the Office of Campaign Finance, was established in 2018. All candidates running in citywide contested elections, who have been certified as "participating candidates" under the FEP, are mandated by law to participate in debates. Consistent therewith, the Office of Campaign Finance hosted the 2020 DC Debates under the Fair Elections Act for the November 3, 2020 General Election city wide contests for the At-Large Member of the Council of the District of Columbia, and the At-Large Member of the State Board of Education. The Debates were presented in a virtual format, and live streamed at 2020dcdebates.com. The 2020 Debates were the inaugural debates under the Fair Elections Program. All Candidates certified in the Fair Elections Program in these city-wide contests were required to participate in the Debates, and all Candidates who achieved ballot

access in the Traditional Campaign Finance Program were invited to participate. On September 29, 2020, the At-Large Member of the State Board of Education (SBOE) Candidate Debate was moderated by Perry Stein, the Washington Post Reporter for Education, and a total of **6** Candidates participated. The September 29th and 30th, 2020 Debates for At-Large Member of the Council (CC) were moderated by the Washington Post Reporter, Fenit Nirappil, and a total of **18** Candidates participated. The Schedule for the Debates was, as follows:

- Debate 1 – September 29, 2020, 4:30 PM – 6:00 PM (6 Participants) (SBOE)
- Debate 1 – September 29, 2020, 7:30 PM – 9:00 PM (5 Participants) (CC)
- Debate 2 – September 30, 2020, 5:00 PM – 6:30 PM (7 Participants) (CC)
- Debate 3 – September 30, 2020, 8:00 PM – 9:30 PM (6 Participants) (CC)

The Office of Campaign Finance, notwithstanding the challenges of the COVID-19 pandemic, successfully advertised, scheduled, and hosted the first debates under the Fair Elections Act in a virtual format to provide District Residents with the opportunity to hear directly from the candidates for public office in the November 3, 2020 General Election. American Sign Language (ASL) and Spanish Language Interpreters were provided for all scheduled virtual 2020 DC Debates. Advertisements for the Debates were placed on bus exteriors on various routes throughout the DC area, and on fifteen (15) area radio stations, and digital ads were placed on the internet. For the digital buy – 2.1 million ads were served, and over 2,500 people clicked on the ads taking them to the website, resulting in a solid response. The advertisements prepared for release on the radio stations resulted in 191 spots running for over two weeks on WASH-FM, WBIG-FM, WDCH-FM, WHUR-FM, WITH-FM, WKYS-FM, WMMJ-FM, WMZO-FM, WOL-AM, WPRS-FM, WTEM-AM, WTOP-FM, WWDC-FM, WAMU-FM, and WLZL-FM. Press Releases and Information on the debates was also posted on the Website at 2020dcdebates.com, and listed the name, headshot photograph, and a brief description of the campaign platform for each registered participant. The Press Releases were disseminated to all candidates appearing on the November 3, 2020 General Election Ballot, and to the public on September 9, 2020, and on September 28, 2020. There were 14 Partners affiliated with the 2020 DC Debates, namely: Fair Budget Coalition; DC Action for Children; HBCU Collective; Community Enrichment Project; Washington Area Bicyclist Association; Advisory DC Jobs

with Justice; Federation of Citizens Associations of the District of Columbia; Dupont Circle Federation of Civic Associations; and Breath DC.

The videos of the 2020 Debates were made available at the OCF 2020 DC Debates Website www.2020dcdebates.com for viewing through the November 3, 2020 General Election. For those Candidates who were unable to participate in the Debates due to technical difficulties, the Agency forwarded Notices to the affected Candidates on October 5, 2020 by email, extending the opportunity for the two (2) affected Candidates to provide responses in writing to the questions posed to the candidates who were present during the debates. The Responses of the Candidates were posted at the OCF Website alongside the video of the debate for which the respective candidates were scheduled.

The Office of Campaign Finance retained the services of a public relations firm to facilitate and assist the OCF in shaping the first time citywide virtual inaugural debate event hosted by the Agency. The Contract was awarded on August 25, 2020 for the approximate cost of $172,486.00. The brand selected for the OCF hosted virtual debates was "2020 DC Debates". The complete list of registered participant candidates for the 2020 DC Debates was published on the Debate Website at 2020dcdebates.com and the OCF Website.

Third, the Office of Campaign Finance continued to develop and employ Public Service Announcements, Radio and Digital Ads, and Videos to increase the scope of its outreach to the public, and to more effectively educate the residents of the District of Columbia about the Fair Elections Program, and as previously discussed, any scheduled candidate debates. The Agency requested and received confirmation on January 24, 2020 of the continued airing of the PSA on WTOP; and requested and confirmed 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. At the end of May 2020, the Agency coordinated the placement of 30 Second and 60 Second Public Service Announcements at the DCTV Channels through November 2, 2020. The Agency also begin to publish Charts of the FEP and Traditional Candidates at the OCF Website pending the development of the Second Phase of the FEP E-Filing and Disclosure System, on March 9, 2020.

In addition, as you know, 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, 2020. 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. Therefore, the Office of Campaign Finance was required to immediately prepare for the registration of potential candidates interested in participating in the Ward 2 Special Election. The Agency adjusted the E-Filing Systems for both the Traditional and the FEP Programs to manage the filing dates and contribution limits for the Special Election; developed the calendar for the filing of Receipts and Expenditures Reports for the Election, and included the reporting requirements in the Mandatory Entrance Conferences to be scheduled for new candidates and treasurers registered in the Election; and developed the "Fair Elections Program Fact Sheet for Ward 2 Special Election for 2020". The Brochure was published at the OCF Website on January 27, 2020. Moreover, the Office of Campaign Finance did 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 began on the day the special election was called, January 8, 2020, and ended 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, a 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.

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. The Office of Campaign Finance certified four (4) candidates as "participating candidates" in the June 16, 2020 Special Election. The Agency authorized the payment of $345,301.65 in base amount and matching payments of public funds during the Special Election Cycle to these candidates. The remaining sum of $354,698.35 was returned to the Treasury.

Fourth, the Fair Elections Division, as the result of the onset of the COVID 19 Pandemic in March 2020, offered one on one virtual training and technical assistance through meetings conducted with 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. On each deadline for the filing of financial reports, the FEP Division offered technical assistance to users on the use of the FEP E-Filing System to report campaign activity. The FEP Division desk reviewed a total of 303 financial reports and issued 77 Requests for Additional Information issued. Each contribution reported was verified for compliance with the reporting requirements. Further, the Agency broadened the scope of its existing Public Training Program to incorporate virtual Mandatory Training Conferences for new registrants (candidates and treasurers). Eighty- nine new Treasurers and 96 new Candidates completed the Mandatory Entrance Conference online and received instruction on their duties and responsibilities under the Campaign Finance Act. The Agency designed a Training Module to enable new candidates and treasurers to complete the Mandatory Entrance Conference training online. The Agency also revised the ANC Training Guide at the OCF Website, and directed a link to the Tutorial by email to approximately 400 of the 423 candidates for the Office of Advisory Neighborhood

Commission member who registered with the Board of Elections and provided an email address. Any additional costs associated with this initiative was absorbed by the FY 20 Maintenance Agreement for the OCF E-Filing System.

Fifth, The Fair Elections Division initiated the Post-Election Audit Program for the campaign operations of the ten (10) candidates who were certified and participated in the June 2, 2020 Primary Election, and did not proceed to the November 3, 2020 General Election; and the four (4) candidates who were certified and participated in the June 16, 2020 Special Election. The Audits were initiated by correspondence dated June 19, 2020 for the Primary Election Candidates, and July 6, 2020 for the Special Election Candidates , which required the Candidates to submit all of their financial records to the Office of Campaign Finance from the date of the respective registration of the principal campaign committee to the date of the Election. The Audits are ongoing. During March 2021, the FEP Division will initiate the Post-Election Audits for the twenty (20) candidates who were certified as participating candidates in the Fair Elections Program for the November 3, 2020 General Election. There is no additional cost associated with this Initiative.

II. FY21 PROGRAMS

During FY 21, to date, the Office of Campaign Finance will initiate the following initiatives:

- The OCF Office of the General Counsel will promulgate new regulations, draft forms, and revise the OCF Guide and Training Materials to fully implement the provisions of the Campaign Finance Reform Amendment Act of 2018, effective March 13, 2019, as amended, when applicable, which will prohibit the receipt of and making of political contributions by business entities and their principals seeking or receiving contracts valued at $250,000 or more from the District Government during certain timeframes, and also require the OCF to notify public officials and campaign treasurers of the new prohibitions. The Agency will also seek the upgrade of the OCF E-Filing and Disclosure System to provide an application to fully implement the covered contractor prohibitions which will require the OCF to identify prohibited contributions through the cross reference of

the lists of covered contractors and their principals made publicly available by District contracting authorities, and to notify the contractors and prohibited recipients about potential violations.

- The Office of Campaign Finance will produce, publish at the OCF Website, and submit to the Mayor and the DC Council, the post-election cycle reports due nine (9) months after the June 16, 2020 Special Election, and the November 3, 2020 General Election. The Reports will list the names of all candidates certified to participate in the Fair Elections Program in these election cycle, and describe for each, the qualified small dollar contributions received, personal funds contributed, remitted funds, and public funds received.

- The Office of Campaign Finance will conduct full field audits of the campaign operations of all candidates certified in the Fair Elections Program to participate in the November 3, 2020 General Election; and of all candidates newly elected to Office in the Traditional Program during the 2020 Election Cycle.

- The Office of Campaign Finance will develop Fact Sheets and other brochures for the 2022 Election Cycle.

The Fiscal Year 2021 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 FY20 and FY21, 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 FY20, the Office of Campaign Finance achieved a 100% compliance rate with the legislative mandate to file all financial reports online at the OCF Website. 898 of the 898 total reports received during FY 20 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 a 99% compliance rate for newly registered candidates (96 of 97) and 100% compliance rate for newly registered treasurers (89 of 89) of newly organized committees to complete the Mandatory Entrance Conference. 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 candidate was posted at the OCF Website and referred to the Office of the General Counsel for the initiation of enforcement proceedings.

The near 100% compliance rate for candidates and the 100% rate for treasurers 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 94% 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 2020. The Agency uses Surveys in its onsite 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 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."

For Fiscal Year 2021, the Key Performance Indicators for 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", were revised, consistent with recent amendments to the Fair Elections Act. The 2020 Key Performance Indicator "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" was revised to state "Percent of Base Amount and Matching Payments authorized for disbursement within five (5) business days of the certification of a candidate into the Fair Elections Program." The 2020 Key Performance Indicator "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" was not revised. The 2020 Key Performance Indicator "Percent of matching payments directed for disbursement to participating candidates within five (5) days after the receipt of financial reports" was revised to state "Percent of matching payments directed for disbursement to participating candidates within five (5) business days after the receipt of financial reports."
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."

41. What are the top metrics and KPIs 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."

For Fiscal Year 2021, the Key Performance Indicators for 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", were revised, consistent with recent amendments to the Fair Elections Act. The 2020 Key Performance Indicator "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" was revised to state "Percent of Base Amount and Matching Payments authorized for disbursement within five (5) business days of the certification of a candidate into the Fair Elections Program". The 2020 Key Performance Indicator "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" was not revised. The 2020 Key Performance Indicator "Percent of matching payments directed for disbursement to participating candidates within five (5) days after the receipt of financial reports" was revised to state "Percent of matching payments directed for disbursement to participating candidates within five (5) business days after the receipt of financial reports".
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 FY20 or FY21, to date.

RESPONSE:

The Agency did not utilize the services of the Lab@ DC during FY20 but will explore how the Lab may assist the Office of Campaign Finance in the performance of its responsibilities during Fiscal Year 2021.

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 federal legislation passed during FY20 and FY21, to date, which significantly affected agency operations.

RESPONSE:

The Office of Campaign Finance is unaware of any legislation passed at the federal level during FY20 and FY21, to date, which would impact upon this Agency.

45. Please describe any steps the agency took in FY20 and FY21, to date, to improve the transparency of agency operations, including any website upgrades or major revisions.

RESPONSE:

During Fiscal Year 2020, the Office of Campaign Finance took several steps to improve the transparency of the operations of the Agency.

First, the Office of Campaign Finance completed and launched the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program (FEP). Overall, Phase II enables the public to sort, search, and retrieve contribution and expenditure data; and to view registration disclosures and financial report data, quick statistics, and payout information. The Administrative Modules provide applications which store data pertinent to the audit process, payouts, filings, registrations, and the post-election cycle reports.

Briefly, by way of background, the First Phase of the development of the FEP E-Filing System was completed on July 26, 2019. Phase I enables the online submission of financial reports at the OCF Web Site by the candidates and committees who register 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 first candidate registered in the Fair Elections Program on April 7, 2019, and all candidates who registered in the Program were subsequently able to successfully file their financial reports and supporting documentation online at the OCF Website on July 31, 2019, the first filing deadline for the Program.

The development and design of the Second Phase of the FEP E-Filing and Disclosure System focused on providing greater public disclosure of campaign related data and information and expanded the administrative management of the System. On November 4, 2019, the Agency initiated Requisition No. K140026 ($133,764.00 approximate cost: approved March 13, 2020), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Specifically, Phase II provides Reports, for public viewing and download at the OCF Website, and for administrative use, including the Post-Election Reports of the Agency which are due nine (9) months after an election and will detail the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary Contribution and Expenditure Reports which allow the public to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or expenditure type and purpose; and Administrative Lists of Filers/Non-Filers for a selected report. A Fair Elections Program Statistics Module has been designed with a Public Search Feature to obtain by Election Year, the total number of registered and certified candidates, the total amount of public fund payments, and the total amount of remissions; the Numbers by Office of candidates registered and certified, with total contributions, and public payments disbursed provided for each; and for the Election Year selected, statistics for the "Top 10 Candidates" by "Number of DC Supporters", "Number of Non-DC Supporters", Total Contributions Received", "Total Expenditures", "Public Funds Received" and "Total Contributions from Self/Family". The OCF Website also offers the public, the "Fair Elections Candidates Payment and Information" Link, which presents "Payments Made To-Date", the "Total Base Payments", the

"Total Matching Payments' and "Total Payments Made", in total for all committees combined as well as separately for each committee. Further, access is provided at this Link to the following Reports: Filer Reports; Contributions/Receipts; Expenditures; Audit Reports; Orders; and to the afore-mentioned FEP Statistics.

The FEP Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees enables 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, the public search features allow the link to a candidate's Registration Disclosures, which provide the date of registration, the listing of chairperson and treasurer, public fund payouts by type, amount, and date, financial reports filed, and any audits or orders issued to the committee.

The OCF Administrative Modules include a "Fair Elections Dashboard" available upon login which presents the total number of registered candidates, the total number of active candidates, the total number of candidates who have reached the cap, total numbers for various stages of the certification process, and the totals for base amount and matching fund payouts. The FEP Dashboard also lists the FEP candidates, with links to the candidate's registration disclosure, and provides for each candidate listed, the committee name, the office sought, certification status, base amount and matching fund payouts, and the number of reports filed. Administrative Reports were developed during Phase II to assist the OCF Staff in the management of the Fair Elections Program. The Flagged Contributions Report enables the Agency to run reports for all filer types to identify the committees which received excessive contributions (in the aggregate), and to research excessive contributions by filer type, filing year and report name. Excessive contributions may be grouped by contributor name; similar sounding names; similar spelling names; and contributor address. The System administratively has 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; and to identify the use by committees of the excel upload feature to file reports, and the template (report schedule) imported by the committee, the import date and time, the total number of records entered and imported, and the number of invalid records and valid but not imported records. Within the committee registration module, the OCF uses a checkoff to identify whether a candidate has attended a required entrance conference, and to generate from the data entered an attendance and non-attendance list; manages the various covered offices under the Fair Elections Program, and assigns the respective applicable election year(s) and contribution limits for each; manages and sets the election (general, primary, and special) dates for applicable covered offices as mandated by law; and creates 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.

The System enables the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement is automatically emailed to the filer for signature along with a link for the filer to create login information. The filer has 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. Last, an online Training module was designed to enable filers to complete the mandatory Entrance Conference Training online.

Second, the Office of Campaign Finance implemented the OCF Debate Program during Fiscal Year 2020. The Fair Elections Program, a voluntary public financing program under the Office of Campaign Finance, was established in 2018. All candidates running in citywide contested elections, who have been certified as "participating candidates" under the FEP, are mandated by law to participate in debates. Consistent therewith, the Office of Campaign Finance hosted the 2020 DC Debates under the Fair Elections Act for the November 3, 2020 General Election city wide contests for the At-Large Member of the Council of the District of Columbia, and the At-Large Member of the State Board of Education. The Debates were presented in a virtual format, and live streamed at 2020dcdebates.com. The 2020 Debates were the inaugural debates under the Fair Elections Program. All Candidates certified in the Fair Elections Program in these city-wide

contests were required to participate in the Debates, and all Candidates who achieved ballot access in the Traditional Campaign Finance Program were invited to participate. On September 29, 2020, the At-Large Member of the State Board of Education (SBOE) Candidate Debate was moderated by Perry Stein, the Washington Post Reporter for Education, and a total of **6** Candidates participated. The September 29th and 30th, 2020 Debates for At-Large Member of the Council (CC) were moderated by the Washington Post Reporter, Fenit Nirappil, and a total of **18** Candidates participated. The Debate Schedule was as follows:

- Debate 1 – September 29, 2020, 4:30 PM – 6:00 PM (6 Participants) (SBOE)
- Debate 1 – September 29, 2020, 7:30 PM – 9:00 PM (5 Participants) (CC)
- Debate 2 – September 30, 2020, 5:00 PM – 6:30 PM (7 Participants) (CC)
- Debate 3 – September 30, 2020, 8:00 PM – 9:30 PM (6 Participants) (CC)

The Office of Campaign Finance, notwithstanding the challenges of the COVID 19 Pandemic, successfully advertised, scheduled, and hosted the first debates under the Fair Elections Act in a virtual format to provide District Residents with the opportunity to hear directly from the candidates for public office in the November 3, 2020 General Election. American Sign Language (ASL) and Spanish Language Interpreters were provided for all scheduled virtual 2020 DC Debates. Advertisements for the Debates were placed on bus exteriors on various routes throughout the DC area, and on fifteen (15) area radio stations, and digital ads were placed on the internet. For the digital buy – 2.1 million ads were served, and over 2,500 people clicked on the ads taking them to the website, resulting in a solid response. The advertisements prepared for release on the radio stations resulted in 191 spots running for over two weeks on WASH-FM, WBIG-FM, WDCH-FM, WHUR-FM, WITH-FM, WKYS-FM, WMMJ-FM, WMZO-FM, WOL-AM, WPRS-FM, WTEM-AM, WTOP-FM, WWDC-FM, WAMU-FM, and WLZL-FM. Press Releases and Information on the debates was also posted on the Website at 2020dcdebates.com, and listed the name, headshot photograph, and a brief description of the campaign platform for each registered participant. The Press Releases were disseminated to all candidates appearing on the November 3, 2020 General Election Ballot, and to the public on September 9, 2020, and on September 28, 2020. There were 14 Partners affiliated with the 2020 DC Debates, namely: Fair Budget Coalition; DC Action for Children; HBCU Collective;

Community Enrichment Project; Washington Area Bicyclist Association; Advisory DC Jobs with Justice; Federation of Citizens Associations of the District of Columbia; Dupont Circle Federation of Civic Associations; and Breath DC.

The videos of the 2020 Debates were made available at the OCF 2020 DC Debates Website www.2020dcdebates.com for viewing through the November 3, 2020 General Election. For those Candidates who were unable to participate in the Debates due to technical difficulties, the Agency forwarded Notices to the affected Candidates on October 5, 2020 by email, extending the opportunity for the two (2) affected Candidates to provide responses in writing to the questions posed to the candidates who were present during the debates. The Responses of the Candidates were posted at the OCF Website alongside the video of the debate for which the respective candidates were scheduled.

Third, the Office of Campaign Finance continued to develop and employ Public Service Announcements, Radio and Digital Ads, and Videos to increase the scope of its outreach to the public, and to more effectively educate the residents of the District of Columbia about the Fair Elections Program, and as previously discussed, any scheduled candidate debates. The Agency requested and received confirmation on January 24, 2020 of the continued airing of the PSA on WTOP; and requested and confirmed 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. At the end of May 2020, the Agency coordinated the placement of 30 Second and 60 Second Public Service Announcements at the DCTV Channels through November 2, 2020The Agency also begin to publish Charts of the FEP and Traditional Candidates at the OCF Website pending the development of the Second Phase of the FEP E-Filing and Disclosure System, on March 9, 2020.

In addition, as you know, 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, 2020. 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. Therefore, the Office of Campaign Finance was required to immediately prepare for the

registration of potential candidates interested in participating in the Ward 2 Special Election. The Agency adjusted the E-Filing Systems for both the Traditional and the FEP Programs to manage the filing dates and contribution limits for the Special Election; developed the calendar for the filing of Receipts and Expenditures Reports for the Election, and included the reporting requirements in the Mandatory Entrance Conferences scheduled for new candidates and treasurers; and developed the "Fair Elections Program Fact Sheet for Ward 2 Special Election for 2020". The Brochure was published at the OCF Website on January 27, 2020.

Further, the Fair Elections Division, as the result of the onset of the COVID-19 pandemic in March 2020, offered one on one virtual training and technical assistance through meetings conducted with 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. On each deadline for the filing of financial reports, the FEP Division offered technical assistance to users on the use of the FEP E-Filing System to report campaign activity. The FEP Program desk reviewed 3030 financial reports and issued 77 Requests for Additional Information. Each contribution reported was verified for compliance with the reporting requirements.

The Agency, during Fiscal Year 2020, the Agency through rulemaking, mandatory and public training, Notices at the OCF Web Site, and the revision of OCF Forms Brochures, and Training Materials, continued to keep the public informed 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, as amended, by D.C. Law 23-0016, the "Fiscal Year 2020 Budget Support Act of 2019", effective September 11, 2019. The amendments, 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. The Fair Elections Act was further amended to establish the

minimum contribution amount available for match; to add October 10th as a report date for FEP candidates preceding the date of an election; to authorize in lieu of "physical or electronic signature", FEP contributors to note their signature by affirmation or swearing by "an indication including by clicking a checkbox or button"; and to change the timeframes for the completion of certain tasks by five (5) days or 5 business days to "10 business days" for the initiation of the appeal process and the completion of the certification process, and from five (5) days to "five (5) business days" for direction by OCF to the Office of the Chief Financial Officer for payment of the base amount following certification, or the payment of matching funds following the verification of any other financial report; to authorize any candidate qualified for ballot access to participate in the debates; and to authorize the donation of campaign equipment valued at $50 or more to a non-profit organization.

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 Board of Elections, also on October 11, 2019, 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).

Further, on May 15, 2020, the Agency proposed the Notice of Emergency and Proposed Rulemaking to the Board of Elections for adoption on May 6, 2020 to authorize online mandatory training for new candidates and treasurers, the increase of the time frames for the

verification of contributions and the authorization for the disbursement of public funds from five (5) calendar days to five (5) business days (67 DCR 5161; May 15, 2020). The revised Regulations place the Board's Regulations into conformity with the Campaign Finance Reform and Conflict of Interest Public Disclosure Amendment Act of 2011, effective April 27, 2012 (D.C. Law 19-124, 59 DCR 1862 (March 9, 2012)); as amended by the COVID-19 Response Supplemental Emergency Amendment Act of 2020, effective April 10, 2020 (D.C. Act 23-286; 67 DCR 4178 (April 17, 2020). The Notice of Final Rulemaking was adopted by the Board of Elections on February 2, 2021 and published in the D.C. Register on February 12, 2021 (Volume 68/7).

As the Committee was previously advised, 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. During Fiscal Year 2019, 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. 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. During Fiscal Year 2020, the Agency participated in one (1) ANC community outreach activity (ANC 4D- October 12, 2019), and appeared on the Agendas of three (3) ANCs during October of 2020 (ANC 4A02- October 1, 2019; ANC 2C01 – October 8, 2019; ANC 3B – October 10, 2019), six (6) ANCs during February of 2020 (ANC 8A – February 2, 2020; ANC 6E – February 4, 2020; ANC 4C – February 12, 2020; ANC 3F - February 18, 2020; ANC 7B - February 20, 2020; and ANC 2A – February 24, 2020), and one in March of 2020 (ANC 4A – March 3, 2020) to introduce the Fair Elections Program. Thereafter, due to the COVID Pandemic, the Agency forwarded emails to the 29 Advisory Neighborhood Commissions, previously not visited, and requested that the OCF be placed on the Agendas of the Commissions to attend their virtual meetings and present

information on the Fair Elections Program. The Agency participated in one (1) virtual meeting with ANC 4D on September 16, 2020, and continued to use its social media platforms to keep the public informed of the Inaugural Debates scheduled in September 2020 for the city-wide contests, and any other information of interest to the District Residents relative to the activity in the Office of Campaign Finance, including community appearances, filing deadlines, and the availability of financial reports for review online.

In addition, during Fiscal Year 2020, the Agency broadened the scope of its existing Public Training Program to incorporate virtual Mandatory Training Conferences for new registrants (candidates and treasurers). Eighty- nine new Treasurers and 96 new Candidates completed the Mandatory Entrance Conference online and received instruction on their duties and responsibilities under the Campaign Finance Act. The Agency designed a training module from power point slides to enable new treasurers and candidates to complete the Mandatory Entrance Conference training online. The Agency also revised the ANC Training Guide at the OCF Website, and directed a link to the Tutorial by email to approximately 400 of the 423 candidates for the Office of Advisory Neighborhood Commission member who registered with the Board of Elections and provided an email address.

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 participated in a total of thirteen (13) community outreach events and ANC meetings throughout the City, to date, including a meeting with the DC Federation of Civic Associations on November 19, 2019. 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 were 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 October 24, 2019, February 20, 2020, and September 3, 2020. 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.

Further, 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 ($91,280 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. The new audit software package (TeamMate) streamlined the audit process and created a paperless storage system for all projects within the Audit Division. The software allows the Audit staff to

communicate with political committees through an internal control procedure "document request". During Fiscal Year 2020, the software was configured by the Audit Division, and the end user training was completed. The program was up and running by February 1, 2020.

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.

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 which are published online at the OCF Website 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. During Fiscal Years 2020 and 2021, to date, the OFRM has continued to successfully process the payment requests and the DC Treasurer has issued the payments within five (5) business days.

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 Fiscal Year 2020, the Office of Campaign Finance completed and launched the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program

(FEP). Overall, Phase II enables the public to sort, search, and retrieve contribution and expenditure data; and to view registration disclosures and financial report data, quick statistics, and payout information. The Administrative Modules provide applications which store data pertinent to the audit process, payouts, filings, registrations, and the post-election cycle reports.

Briefly, by way of background, the First Phase of the development of the FEP E-Filing System was completed on July 26, 2019. Phase I enables the online submission of financial reports at the OCF Web Site by the candidates and committees who register 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. Once the financial report is submitted, the system generates a PDF version of the entire report, which is made available to the public The PDF version does not include the contribution cards or any attachments associated with the report. The FEP candidates report their receipts and expenditures online, through the data entry/excel upload of contribution and expenditure information, on the Receipt/Contributor and Expenditure Schedules, including supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications). The Excel Module features validation of excess contributions; address validation against USPS; merger of duplicate contributors; logging of all excel uploads; and receipts upload of one contribution card for each contribution or one pdf file covering multiple contributions with option to link page number or the pdf file to contributions. To use the excel feature, the filer must first download a template file, populate the template file, and upload into the system. The Receipt and Expenditure Schedules support the sortable listing of records with cumulative amounts, where appropriate, and contribution limit validation based on the requirements for the covered offices, cash contributions, personal funds of a candidate/personal family member, and committees (Fair Election Committees). Certain Receipt Schedules support auto complete of contributor information to simplify data-entry for recurring contributions, and contribution limits may be adjusted by the OCF Staff for each election cycle. Each Schedule A (Receipts) and Schedule B (Expenditures) of the R & E Report displays the number of records entered for the Schedule. The R & E Report Schedules for Schedules C (Mass Collections), D (Debts), and E (Loans), and the Summary Page were also made available for e-filing during Phase One. A registration module is available at the Website for FEP candidates, and the following FEP Forms may be pre-populated and downloaded: 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. In addition, the OCF Website was enhanced to include a "slider" dedicated to the Fair Elections Program, with a link designed to feature information solely relative to the Program. The link is routinely updated as information becomes available.

The development and design of the Second Phase of the FEP E-Filing and Disclosure System focused on providing greater public disclosure of campaign related data and information and expanded the administrative management of the System. On November 4, 2019, the Agency initiated Requisition No. K140026 ($133,764.00 approximate cost: approved March 13, 2020), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Specifically, Phase II provides Reports, for public viewing and download at the OCF Website, and for administrative use, including the Post-Election Reports of the Agency which are due nine (9) months after an election and will detail the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary Contribution and Expenditure Reports which allow the public to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or

expenditure type and purpose; and Administrative Lists of Filers/Non-Filers for a selected report. A Fair Elections Program Statistics Module has been designed with a Public Search Feature to obtain by Election Year, the total number of registered and certified candidates, the total amount of public fund payments, and the total amount of remissions; the Numbers by Office of candidates registered and certified, with total contributions, and public payments disbursed provided for each; and for the Election Year selected, statistics for the "Top 10 Candidates" by "Number of DC Supporters", "Number of Non-DC Supporters", Total Contributions Received", "Total Expenditures", "Public Funds Received" and "Total Contributions from Self/Family". The OCF Website also offers the public, the "Fair Elections Candidates Payment and Information" Link, which presents "Payments Made To-Date", the "Total Base Payments", the "Total Matching Payments' and "Total Payments Made", in total for all committees combined as well as separately for each committee. Further, access is provided at this Link to the following Reports: Filer Reports; Contributions/Receipts; Expenditures; Audit Reports; Orders; and to the afore-mentioned FEP Statistics.

The FEP Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees enables 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, the public search features allow the link to a candidate's Registration Disclosures, which provide the date of registration, the listing of chairperson and treasurer, public fund payouts by type, amount, and date, financial reports filed, and any audits or orders issued to the committee.

The OCF Administrative Modules include a "Fair Elections Dashboard" available upon login which presents the total number of registered candidates, the total number of active candidates, the total number of candidates who have reached the cap, total numbers for various stages of the certification process, and the totals for base amount and matching fund payouts. The FEP Dashboard also lists the FEP candidates, with links to the candidate's registration disclosure, and provides for each candidate listed, the committee name, the office sought, certification status,

base amount and matching fund payouts, and the number of reports filed. Administrative Reports were developed during Phase II to assist the OCF Staff in the management of the Fair Elections Program. The Flagged Contributions Report enables the Agency to run reports for all filer types to identify the committees which received excessive contributions (in the aggregate), and to research excessive contributions by filer type, filing year and report name. Excessive contributions may be grouped by contributor name; similar sounding names; similar spelling names; and contributor address. The System administratively has 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; and to identify the use by committees of the excel upload feature to file reports, and the template (report schedule) imported by the committee, the import date and time, the total number of records entered and imported, and the number of invalid records and valid but not imported records. Within the committee registration module, the OCF uses a checkoff to identify whether a candidate has attended a required entrance conference, and to generate from the data entered an attendance and non-attendance list; manages the various covered offices under the Fair Elections Program, and assigns the respective applicable election year(s) and contribution limits for each; manages and sets the election (general, primary, and special) dates for applicable covered offices as mandated by law; and creates 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.

The System enables the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement is automatically emailed to the filer for signature along with a link for the filer to create login information. The filer has 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. Last, an online Training module was designed to enable filers to complete the mandatory Entrance Conference Training online.

47. **Please provide a detailed description about any existing and new technology acquired in FY20 and FY21, to date, including the cost, where it is used, and what it does. Please describe the technology's projected lifespan and explain if there have been any issues with implementation.**

RESPONSE:

During Fiscal Year 2020, the Office of Campaign Finance completed and launched the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program (FEP). Overall, Phase II enables the public to sort, search, and retrieve contribution and expenditure data; and to view registration disclosures and financial report data, quick statistics, and payout information. The Administrative Modules provide applications which store data pertinent to the audit process, payouts, filings, registrations, and the post-election cycle reports.

Briefly, by way of background, the First Phase of the development of the FEP E-Filing System was completed on July 26, 2019. Phase I enables the online submission of financial reports at the OCF Web Site by the candidates and committees who register 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. Once the financial report is submitted, the system generates a PDF version of the entire report, which is made available to the public The PDF version does not include the contribution cards or any attachments associated with the report. The FEP candidates report their receipts and expenditures online, through the data entry/excel upload of contribution and expenditure information, on the Receipt/Contributor and Expenditure Schedules, including supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications). The Excel Module features validation of excess contributions; address validation against USPS; merger of duplicate contributors; logging of all excel uploads; and receipts upload of one contribution card for each contribution or one pdf file covering multiple contributions with option to link page number or the pdf file to contributions. To use the excel feature, the filer must first download a template file, populate the template file, and upload into the system. The Receipt and Expenditure Schedules support the sortable listing of records with cumulative amounts, where appropriate, and contribution limit validation based on the requirements for the covered offices, cash contributions, personal funds of a candidate/personal family member, and committees (Fair Election Committees). Certain Receipt Schedules support

auto complete of contributor information to simplify data-entry for recurring contributions, and contribution limits may be adjusted by the OCF Staff for each election cycle. Each Schedule A (Receipts) and Schedule B (Expenditures) of the R & E Report displays the number of records entered for the Schedule. The R & E Report Schedules for Schedules C (Mass Collections), D (Debts), and E (Loans), and the Summary Page were also made available for e-filing during Phase One. A registration module is available at the Website for FEP candidates, and the following FEP Forms may be pre-populated and downloaded: 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. In addition, the OCF Website was enhanced to include a "slider" dedicated to the Fair Elections Program, with a link designed to feature information solely relative to the Program. The link is routinely updated as information becomes available.

The development and design of the Second Phase of the FEP E-Filing and Disclosure System focused on providing greater public disclosure of campaign related data and information and expanded the administrative management of the System. On November 4, 2019, the Agency initiated Requisition No. K140026 ($133,764.00 approximate cost: approved March 13, 2020),

for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Specifically, Phase II provides Reports, for public viewing and download at the OCF Website, and for administrative use, including the Post-Election Reports of the Agency which are due nine (9) months after an election and will detail the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary Contribution and Expenditure Reports which allow the public to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or expenditure type and purpose; and Administrative Lists of Filers/Non-Filers for a selected report. A Fair Elections Program Statistics Module has been designed with a Public Search Feature to obtain by Election Year, the total number of registered and certified candidates, the total amount of public fund payments, and the total amount of remissions; the Numbers by Office of candidates registered and certified, with total contributions, and public payments disbursed provided for each; and for the Election Year selected, statistics for the "Top 10 Candidates" by "Number of DC Supporters", "Number of Non-DC Supporters", Total Contributions Received", "Total Expenditures", "Public Funds Received" and "Total Contributions from Self/Family". The OCF Website also offers the public, the "Fair Elections Candidates Payment and Information" Link, which presents "Payments Made To-Date", the "Total Base Payments", the "Total Matching Payments' and "Total Payments Made", in total for all committees combined as well as separately for each committee. Further, access is provided at this Link to the following Reports: Filer Reports; Contributions/Receipts; Expenditures; Audit Reports; Orders; and to the afore-mentioned FEP Statistics.

The FEP Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees enables 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, the public search features allow the link to a candidate's Registration Disclosures, which provide the date of registration, the listing of chairperson and treasurer, public fund payouts by type, amount, and date, financial reports filed, and any audits or orders issued to the committee.

The OCF Administrative Modules include a "Fair Elections Dashboard" available upon login which presents the total number of registered candidates, the total number of active candidates, the total number of candidates who have reached the cap, total numbers for various stages of the certification process, and the totals for base amount and matching fund payouts. The FEP Dashboard also lists the FEP candidates, with links to the candidate's registration disclosure, and provides for each candidate listed, the committee name, the office sought, certification status, base amount and matching fund payouts, and the number of reports filed. Administrative Reports were developed during Phase II to assist the OCF Staff in the management of the Fair Elections Program. The Flagged Contributions Report enables the Agency to run reports for all filer types to identify the committees which received excessive contributions (in the aggregate), and to research excessive contributions by filer type, filing year and report name. Excessive contributions may be grouped by contributor name; similar sounding names; similar spelling names; and contributor address. The System administratively has 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; and to identify the use by committees of the excel upload feature to file reports, and the template (report schedule) imported by the committee, the import date and time, the total number of records entered and imported, and the number of invalid records and valid but not imported records. Within the committee registration module, the OCF uses a checkoff to identify whether a candidate has attended a required entrance conference, and to generate from the data entered an attendance and non-attendance list; manages the various covered offices under the Fair Elections Program, and assigns the respective applicable election year(s) and contribution limits for each; manages and sets the election (general, primary, and special) dates for applicable covered offices as mandated by law; and creates 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.

The System enables the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement is automatically emailed to the filer for signature along with a link for the filer to create login information. The filer has 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. Last, an online Training module was designed to enable filers to complete the mandatory Entrance Conference Training online.

48. Please discuss how the public health emergency related to COVID-19 affected agency operations during FY 20 and FY 21, to date.

RESPONSE:

Pursuant to the Mayor's Order 2020-035, as amended, the Office of Campaign Finance has operated under a modified status since March 16, 2020. All services are being provided remotely by email or telephone. The critical responsibility of the Agency to monitor, receive and publish online, and review, the financial reports filed by the OCF Registrants continued without interruption during the public health emergency. While in Telework status, the Auditors in both the Traditional Campaign Finance Program and the Fair Elections Program, due to the availability of the reports online and the administrative modules which assist in the audit review process, including the certification and verification of FEP receipts for match, have continued to perform with relative ease, their responsibilities to desk review Traditional Campaign Finance financial reports for compliance with the reporting requirements, review FEP financial reports for certification and the verification of contributions for match, and to conduct field audits. The Agency continues within the timeframes prescribed by the Fair Elections Act to forward requests to the Office of Financial Resource and Management for the disbursement of public funds under the Fair Elections Program through the process described in the OCF Response to Question No. 45, primarily through documents forwarded by email correspondence. The Agency was, however, required to transition the conduct of the informal hearing process, the mandatory entrance conferences, the community outreach participation, and the city-wide contested candidate debates to online environments.

While the Notices of hearings and Statements of Violations (NOH) continue to be served via the U.S. Postal Service and email, the OCF's onsite in person hearings are conducted in a virtual environment through WebEx. In addition, the Agency includes the fact that mail adjudication is a

convenient and available option during the current public health emergency in al NOH's. Consequently, many of the hearings are conducted by mail adjudication. However, all due process protections are observed, and the right to appeal adverse decisions to the Board of Elections within the prescribed period remains available.

In addition, the Agency broadened the scope of its existing Public Training Program to incorporate virtual Mandatory Training Conferences for new registrants (candidates and treasurers). Eighty- nine new Treasurers and 96 new Candidates completed the Mandatory Entrance Conference online and received instruction on their duties and responsibilities under the Campaign Finance Act. The Agency designed a training module from power point slides to enable new treasurers and candidates to complete the Mandatory Entrance Conference training online. The Agency also revised the ANC Training Guide at the OCF Website, and directed a link to the Tutorial by email to approximately 400 of the 423 candidates for the Office of Advisory Neighborhood Commission member who registered with the Board of Elections and provided an email address.

During Fiscal Year 2020, prior to the public health emergency, the Agency participated in one (1) ANC community outreach activity (ANC 4D- October 12, 2019), and appeared on the Agendas of three (3) ANCs during October of 2020 (ANC 4A02- October 1, 2019; ANC 2C01 – October 8, 2019; ANC 3B – October 10, 2019), six (6) ANCs during February of 2020 (ANC 8A – February 2, 2020; ANC 6E – February 4, 2020; ANC 4C – February 12, 2020; ANC 3F - February 18, 2020; ANC 7B - February 20, 2020; and ANC 2A – February 24, 2020), and one in March of 2020 (ANC 4A – March 3, 2020) to introduce the Fair Elections Program. Thereafter, due to the COVID Pandemic, the Agency forwarded emails to the 29 Advisory Neighborhood Commissions, previously not visited, and requested that the OCF be placed on the Agendas of the Commissions to attend their virtual meetings and present information on the Fair Elections Program. The Agency participated in one (1) virtual meeting with ANC 4D on September 16, 2020, and continued to use its social media platforms to keep the public informed of the Inaugural Debates scheduled in September 2020 for the city-wide contests, and any other information of interest to the District Residents relative to the activity in the Office of Campaign

Finance, including community appearances, filing deadlines, and the availability of financial reports for review online.

Of significance, the Office of Campaign Finance was required to rethink its implementation of the OCF Debate Program during Fiscal Year 2020. All candidates running in citywide contested elections, who have been certified as "participating candidates" under the FEP, are mandated by law to participate in debates. Prior to the onset of the COVID 19 Pandemic in March 2020, the Agency considered and visited several potential physical sites for the hosting of the Debates. Once the Public Health Emergency was declared by Order of the Mayor in March of 2020, and subsequently continued, to date, the Office of Campaign Finance reversed its plans and prepared to host any debates required under the Fair Elections Act during the 2020 Election Cycle in a virtual format. There was no city- wide contests during the June 2, 2020 Primary Election which required a debate. The Agency was required to host debates under the Fair Elections Act for the November 3, 2020 General Election city wide contests for the At-Large Member of the Council of the District of Columbia, and the At-Large Member of the State Board of Education, in which FEP candidates were certified to participate. The Debates were presented in a virtual format, and live streamed at 2020dcdebates.com. The 2020 Debates were the inaugural debates under the Fair Elections Program. All Candidates certified in the Fair Elections Program in these city-wide contests were required to participate in the Debates, and all Candidates who achieved ballot access in the Traditional Campaign Finance Program were invited to participate. On September 29, 2020, the At-Large Member of the State Board of Education (SBOE) Candidate Debate was moderated by Perry Stein, the Washington Post Reporter for Education, and a total of **6** Candidates participated. The September 29th and 30th, 2020 Debates for At-Large Member of the Council (CC) were moderated by the Washington Post Reporter, Fenit Nirappil, and a total of **18** Candidates participated. The Debate Schedule was as follows:

- Debate 1 – September 29, 2020, 4:30 PM – 6:00 PM (6 Participants) (SBOE)
- Debate 1 – September 29, 2020, 7:30 PM – 9:00 PM (5 Participants) (CC)
- Debate 2 – September 30, 2020, 5:00 PM – 6:30 PM (7 Participants) (CC)
- Debate 3 – September 30, 2020, 8:00 PM – 9:30 PM (6 Participants) (CC)

The Office of Campaign Finance, notwithstanding the challenges of the COVID 19 Pandemic, successfully advertised, scheduled, and hosted the first debates under the Fair Elections Act in a virtual format to provide District Residents with the opportunity to hear directly from the candidates for public office in the November 3, 2020 General Election. American Sign Language (ASL) and Spanish Language Interpreters were provided for all scheduled virtual 2020 DC Debates. Advertisements for the Debates were placed on bus exteriors on various routes throughout the DC area, and on fifteen (15) area radio stations, and digital ads were placed on the internet. For the digital buy – 2.1 million ads were served, and over 2,500 people clicked on the ads taking them to the website, resulting in a solid response. The advertisements prepared for release on the radio stations resulted in 191 spots running for over two weeks on WASH-FM, WBIG-FM, WDCH-FM, WHUR-FM, WITH-FM, WKYS-FM, WMMJ-FM, WMZO-FM, WOL-AM, WPRS-FM, WTEM-AM, WTOP-FM, WWDC-FM, WAMU-FM, and WLZL-FM. Press Releases and Information on the debates was also posted on the Website at 2020dcdebates.com, and listed the name, headshot photograph, and a brief description of the campaign platform for each registered participant. The Press Releases were disseminated to all candidates appearing on the November 3, 2020 General Election Ballot, and to the public on September 9, 2020, and on September 28, 2020. There were 14 Partners affiliated with the 2020 DC Debates, namely: Fair Budget Coalition; DC Action for Children; HBCU Collective; Community Enrichment Project; Washington Area Bicyclist Association; Advisory DC Jobs with Justice; Federation of Citizens Associations of the District of Columbia; Dupont Circle Federation of Civic Associations; and Breath DC.

The videos of the 2020 Debates were made available at the OCF 2020 DC Debates Website www.2020dcdebates.com for viewing through the November 3, 2020 General Election. For those Candidates who were unable to participate in the Debates due to technical difficulties, the Agency forwarded Notices to the affected Candidates on October 5, 2020 by email, extending the opportunity for the two (2) affected Candidates to provide responses in writing to the questions posed to the candidates who were present during the debates. The Responses of the Candidates were posted at the OCF Website alongside the video of the debate for which the respective candidates were scheduled.

49. Please describe how OCF used social media in FY 20 and FY 21, to date, 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 FY20, and FY21, to date, OCF posted 30 messages on its Facebook Page, and one hundred and forty-one people (141) were reached, with thirteen (13) engagements; and tweeted 24 messages on the Twitter Account, with a total of 64 following and 60 new followers. The

substance of the messaging during FY 20, and FY 21, to date, provided a continuous flow of information about Election Year 2020, and notifications about the 2020 Debates, including links to the debates, OCF press releases, training calendars, training tutorials, and filing deadlines; and information about the debate schedules, candidate registrations, reporting requirements, and OCF Community Outreach. The OCF's transition from an onsite operation to teleworking status required that the Agency keep the community and targeted groups aware of the changes in the Agency's operations and activities.

a. Which position at the agency is responsible for social media?

RESPONSE:

The OCF Training Officer and the Public Information and Records Division Manager share the responsibility for the OCF Social Media Platforms.

50. 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 included a feedback form to enable 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. During Fiscal Year 2020, there were 360 responses to the Survey. The Survey requests the user to respond to certain questions, using a five (5) star ranking, five (5) being the highest, and to provide comments. Of the 360 responses, 268 or 75% gave a ranking of five (5) stars; 331 or 92% gave the traditional e-filing system a ranking of four (4) stars or better. The Fair Elections Program survey did not become operational until November 2020, when it was made available for filers filing the December 10th Report. The survey is identical to the traditional system survey. There were fourteen responses, of which ten (10) or 71% gave a rating of five (5) stars, and twelve (12) or 86% gave a rating of four stars or higher. 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.

51. 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 was developed. This Phase provides Reports, for public and administrative use, as more fully detailed in the OCF Response to Question No. 38.

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) Traditional Program 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) Traditional Program 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) Traditional Program 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) Traditional Program 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.

(j) FEP Quick Stats – This Search Feature allows the public to obtain by Election Year, the total number of registered and certified candidates, the total amount of public fund payments, and the total amount of remissions; the Numbers by Office of candidates registered and certified, with total contributions, and public payments disbursed provided for each; and for the Election Year selected, statistics for the "Top 10 Candidates" by "Number of DC Supporters", "Number of Non-DC Supporters", Total Contributions Received", "Total Expenditures", "Public Funds Received" and "Total Contributions from Self/Family".

(k) The "Fair Elections Candidates Payment and Information" Dashboard Link - Presents Summary of "Payments Made To-Date", the "Total Base Payments", the "Total Matching Payments' and "Total Payments Made", in total for all committees combined as well as separately for each committee. Further, access is provided at this Link to the searchable listing of all candidates by election year and report summary and to the following searchable Report listings: Filer Reports; Contributions/Receipts; Expenditures; Audit Reports; Orders; and to the afore-mentioned FEP Statistics.

(l) The FEP Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees - Enables 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).

(m) FEP Registration Disclosures - Provide the date of registration, the listing of chairperson and treasurer, public fund payouts by type, amount, and date, financial reports filed, and any audits or orders issued to the committee.

(2) Services Link

(a) Contributions by Geography – This Service will no longer be offered and was deleted by the Office of the Chief Technology Officer in December 2020. This Service allowed

the public to search and view contributions by selection criteria for Election Year, Office, or Committee, with 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. As of this date, in FY 21, there are 883 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.

52. Please describe OCF's enforcement measures and actions taken in FY20 and FY21, 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 FY20 and FY21, to date, the OCF informal hearing process has included the following:

§ Total Referrals 137 (FY20) and 64 (FY21) to Date

§ Hearing Notices issued 215 (FY 20 Includes 132 First Notices and 83 Second Notices) and 57 (FY 21 to date Includes 42 First Notices and15 Second Notices

§ Hearings Conducted 84 FY2020 and 20 FY 2021 To Date

§ Orders issued 94 FY 2020: 65 FY 2021 To Date

§ Investigations Completed 2

§ Orders imposing fines 31 FY 2020; 24 FY 2021 To Date

§ Amount of fines imposed $48,075.00 FY2020; $24,300.00 FY 2020 To Date

§ Amount of fines collected $12,150.00 FY2020; $50.00 FY 2021 To Date

§ Fines vacated or reduced $6,000.00 FY 2020: FY2021 None to Date

§ Outstanding fines $29,925.00 FY2020; None in FY2021 to date

§ Petitions for Enforcement 34

§ Interpretative Opinions 4

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 2020 and Fiscal Year 2021, Thirty Four (34) 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 $29,925.00 were transmitted to the Office of the General Counsel for the Board of Elections will schedule hearing in these matters during Fiscal Year 2021.

During FY2020, the Office of Campaign Finance completed the following investigations:

a. OCF INV 2020-002 Complainant: Committee to Hold Jack Evans Accountable

Respondent: DC Legal Defense Committee for Jack Evans

Alleged Infraction: unlawful use of a Legal Defense Committee

Status: Order Issued 08/31/2020

Complaint Dismissed

b. OCF INV- 2020-007 Complainant:

Respondent: Ed Lazere for DC Principal campaign Committee

Alleged Infraction: Inappropriate use of FEP funds

Status: Order Issued 08/14/2020

Complaint Dismissed

c. OCF INV- 2020-011 Complainant: Lauren Wolfe

Respondent: Brooke Pinto for Ward Two Principal Campaign Committee

Alleged Infraction: Failure to Report Excessive Contributions

Status: Order Issued 09/25/2020

Complaint Dismissed

d. OCF INV-2020-008 Complainant: Jeannie Malloy

Respondent: Racine for Attorney General 2018

Alleged Infraction: inappropriate use of Surplus Campaign Funds

Status: Order Issued 10/26/2020

Complaint Dismissed

e. OCF INV-2020-009 Complainant: Chuck Thies

Respondent: Anthony Lorenzo Green for Ward Seven Principal Campaign Committee

Alleged Infraction: Inappropriate use of Government Resources for Campaign purposes

Status: Order Issued 11/30/2020

A Fine of $500.00 was imposed

f. OCF-INV- 2019-001 Complainant: Commissioner Edward Hanlon

Respondent: Advisory Neighborhood Commission Members Daniel Warwick (SMD 2B02); Aaron Landry (SMD 2B04); Randy Downs (SMD 2B05); Mathew Sampson (SMD 2B01); Kari Cunningham (SMD 2B07).Following an Appeal to the BOE, all Respondents but Landy an Warwick were removed based upon representations made by Landry and Warwick.

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 was appealed to the BOE.

The BOE affirmed OCF's order on 12/04/2020 and reduce the fines to $50.00 each for Landry and Warwick.

During FY 2020, the Office of the General Counsel received and processed at least twenty (20) Requests for Advice via e-mail and fifteen (15 during 2021). 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 2020, a 100 % filing rate was achieved in the Constituent Service and Statehood Fund Programs; and a 94% filing rate was achieved in campaign finance disclosure based on the actual filings by principal campaign committees, political committees, and political action committees.

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; 547 of the required 585 principal campaign committees and political action committees in the traditional program filed the Report of Receipts and Expenditures (OCF Form 16); and 253 of the 268 required filers in the Fair Elections Program filed the Report of Receipts and Expenditures (OCF Form 16).

There were 901 required filers in all the Campaign Finance Programs: 782 timely filers; 78 late filers; and approximately 42 filers who remain delinquent. The total number of actual filers represents 94% (95% in FY19) of the total required filers who complied with the reporting requirements during Fiscal Year 2020.

53. Please provide the Committee with the total amount of audits that OCF conducted in FY20 and FY21, 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 eleven (11) Periodic Audits and three (3) Full Field Audits during Fiscal Year 2020, and nine (9) Periodic Random Audits during Fiscal Year 2021, to date. Except for the Audit Report of the Committee to Elect Zachary Parker 2018, which was a Non-Compliance Audit, all Audits conducted resulted in Compliance Audits. The Non-Compliance Audit Report was referred to the Office of the General Counsel for enforcement, which resulted in the imposition of fines. All Audit Reports are available at the OCF Website for review by the public. The following is a detail of the Full Field Audits and Periodic Random Audits issued:

AUDITS - FY 2020	**DATE ISSUED**
<u>FULL FIELD AUDITS</u>	
Emily for Education	December 13, 2019
Committee to Elect Zachary Parker	January 22, 2020
Legal Defense Fund for Jack Evans	August 3, 2020

PERIODIC RANDOM AUDITS

Candidates in the 2020 Election

Re-Elect Brandon Todd 2020	April 6, 2020
Richard Campbell Ward 8 City Council	April 30, 2020

Political Action Committees

Gertrude Stein PAC	October 24, 2019
DC Democratic State Committee	November 15, 2019
Greater Washington Board of Trade	April 30, 2020

Citizen Service Programs

Ward 3 Constituent Service Fund	November 22, 2019
Evans Constituent Service Fund	November 22, 2019
Phil's Fund for Citizen Service	December 13, 2019
Our Ward 5 Constituent Service Fund	July 29, 2020
Mayor Bowser's Constituent Service Program	July 31, 2020
Ward 4 Constituent Service Program	September 22, 2020

AUDITS ISSUED FY 2021 To Date

Candidates in the 2020 Election

Friends of Robert White	December 17, 2020
Veda for Ward 7	December 4, 2020
Committee to Elect Erick Rogers	December 17, 2020

Political Action Committees

D.C. Libertarian Party	October 30, 2020
Verizon Communication Inc. for Good Gov't PAC	November 13, 2020
Firefighters Committee on Political Activities	December 4, 2020

Citizen Service Programs

Citizens Outreach Fund	October 30, 2020
Ward 7 Constituent Services Fund	November 12, 2020
Do Something Constituents Fund	December 4, 2020

It should be noted that Audit Notification Letters for Full Field Audits of Newly Elected Officials for the 2020 Election issued on February 8, 2021 (Brooke Pinto for Ward 2 and Jacque4DC State Board of Education). Additionally, Audit Notification Letters issued on February 8, 2021, for the January 31, 2021 Reports of Receipt and Expenditures for Continuing Committees and Political Action Committees.

In general, 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, in addition to the afore-referenced periodic and full field audits, during Fiscal Year 2020, the Office of Campaign Finance conducted 769 (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. For FY 2021, to date, the Agency has conducted 230 Desk Reviews of the ANC Financial Summary Statements.

The Desk Reviews resulted in the issuance of 154 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. 129 reporting entities complied with the request of the Audit Division and submitted the necessary information. Nineteen (19) responses are due in FY 2021 and have been resolved. The Audit Division referred six (6) cases to the Office of the General Counsel for enforcement where there was a failure to respond to the request for additional information. An additional four (4) cases were referred in FY21, to date. RAAD assisted in the termination of seventeen (17) committees, in FY20, and eight (8) committees, in FY21, to date, following the review and approval of their Final Report of Receipts and Expenditures.

Last, as stated previously, in Fiscal Year 2021, to date, the Office of Campaign Finance reviewed 230 ANC Summary Financial Statements (OCF Form 18) filed by candidates for the Office of Member of an Advisory Neighborhood Commission. The ANC Summary Financial Statements were due on February 2, 2021, following the Board's certification of the November 2020 Election Results. 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. The ANC Candidates raised a total of $167,552.81 in total receipts and expended $171,564.88 in total

expenditures with a Disposal of Surplus Funds totaling $5,672.84. There were no debts or obligations reported owed by the ANC Candidates that have filed their Financial Statements.

54. How much did OCF impose in fines in FY20 and FY21, 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 55 (PCC's, PAC's, and Investigations)

FY 2020 34 (18; PCC's), (10 PAC's) (3 Init,) FY 2021 24 To Date; (16 PCC's), (4 PAC's) and (3 Init.) and (1 Investigation)

§ Amount of fines imposed $48, 075.00 FY2020; $24,300.00 FY 2021 To Date

§ Amount of fines collected $12,150.00 FY2020; $250.00 FY 2021 To Date

§ Fines vacated or reduced $6,000.00 FY 2020: FY2021 None to Date

§ Outstanding fines $29,925.00 FY2020; FY 2021 None to Date

§ Petitions for Enforcement 34

The fines collected during FY20 were from the following sources:

- Investigations.
- Political Action Committees; and
- Principal Campaign Committees

The fines collected during FY 21 to date were from the following sources:

- 1 fine from an Investigation following an Appeal to the BOE.
- The 34 cases referred to the Office of the General Counsel for the BOE will be scheduled for Pre- Hearing Conference during FY2021.
- During FY 20 OCF collected $4,500.00 in fines from the individual respondents' personal funds and $7,700.00 from Political Committees and Political Action Committees.
- During FY 21 to date OCF has collected $250.00 in fines from two (2) individuals, $50.00 pursuant to an Investigation, and $200.00 based upon a fine imposed against a Principal Campaign Committee.

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. 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 166 Committees and Programs registered with the Office of Campaign Finance, including 59 Principal Campaign Committees; 36 Fair Elections Program Candidate Committees; 50 Political Action Committees; 8 Constituent Service Programs; **3** Statehood Fund Programs; 3 Initiative Committees; 1 Referendum Committees; 1 Recall Committee; 3

Independent Expenditure Committees; 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	37	2	0	0	5	0	1	1	0	1	0

b. How many committees registered in FY20 or FY21, to date, by filer type?

	FY2020	FY2021
PCC	41	1
(FEP)	41	0
PAC	1	1
I.E.	1	0
CSP	0	0
Exploratory	1	0
Init.	6	0
Ref.	0	0
Recall	0	1
Inaug.	0	0
LDF	0	0

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

RESPONSE:

There are currently twenty-one (21) 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?

Committee Name	Registered Date	Loans	Debt
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	
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
Strauss 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	Registered Date	Debts	Loans
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 FY20 or FY21, to date?

The Markus for Ward 8 Committee filed a Termination R&E Report on 1/31/2020. (Status is pending. Outstanding RFAI from December 2020).

The Callie for State Board of Education Committee filed a Termination Report which was approved in December 2020.

The Frazier O'Leary for Ward 4 Committee filed a Termination R&E Report on 8/19/2020. (Status is pending. Outstanding RFAI from December 2020).

57. **Please provide an update on any enhancements OCF made to its e-filing and disclosure system in FY20 and FY21, 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, 39, 45 and 46.

g. 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 more than the limits. This screen provides a quick summary that includes the committee name, number of excessive contributions, and the total amount received more than 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.

58. Please provide an update on OCF's efforts to promote compliance with the "affiliated entity" reporting requirement.

c. In how many instances were affiliated entities of business contributors listed in FY20 or FY21, to date? Out of how many business contributors?

RESPONSE:

FY 20

	Business Contributors	Affiliated Entities
PCC	359	0
PAC	196	1
CSP	33	0
I.E.	8	3
Initiative	10	0

FY 21

	Business Contributors	Affiliated Entities
PCC	23	0
PAC	20	0
CSP	20	0
I.E.	8	1
Initiative	2	0

The breakdown of contributor data researched by the Office of the General Counsel during FY20 and FY21, to date, follows:

FY 2020 Business Contributors Total

- 375 business contributors were researched
- 96 business contributors were determined to have affiliated entities
- 12 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

	Business Contributors	Affiliated Entities
PCC	375	96
PAC	0	0
CSP	0	0
IEP	0	0
IC	0	0

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

FY 2020 and FY 2021 (to date) Business Contributors Total

- 375 business contributors were researched
- 96 business contributors were determined to have affiliated entities
- 12 business contributors with affiliated entities and possible excessive contributions were referred to the Audit Division for further inquiry

December 10th, 2019 R&E Report:

- 157 business contributors
- 27 affiliated entities
- 3 possible excessive contributions

January 31st, 2020 R&E Report

- 100 business contributors for PCCs
- 24 affiliated entities
- 3 possible excessive contributions

March 10th, 2020 R&E Report

- 48 business contributors
- 12 affiliated entities

- 0 possible excessive contributions

8 Day Pre-Primary Election (May 26, 2020) R&E Report

- 26 business contributors for PCCs
- 11 affiliated entities
- 3 possible excessive contributions

June 10th, 2020 R&E Report

- 22 business contributors for PCCs
- 9 affiliated entities
- 0 possible excessive contributions

August 10th, 2020 R&E Report

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

October 10th, 2020 R&E Report

- 26 business contributors for PCCs
- 14 affiliated entities
- 0 possible excessive contributions

8 Day Pre-General Election (October 26, 2020) R&E Reports

- 15 business contributors for PCCs
- 6 affiliated entities
- 0 possible excessive contributions

December 10th, 2020 R&E Report

For Principal Campaign Committees

- 11 business contributors for PCCs
- 8 affiliated entities
- 1 possible excessive contribution

For Political Action Committees

- 64 business contributors for PCCs
- 14 affiliated entities
- 0 possible excessive contributions

During FY 2020, the OCF Office of the General Counsel noted twelve (12) instances where affiliated business contributors made possible excessive contributions to Principal Campaign Committees. Through the audit Request for Additional Information process these matters were resolved. The Audit Branch found through the audit of one Committee, that the two (2) questioned contributions were not excessive, and the Form 32s were submitted. The remaining ten (10) Form 32s were requested, received, and accepted, and the submissions of the Committees evidenced that the contributions were not affiliated and therefore not excessive.

During FY21, 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 2020 and 2021 Training Calendar; and developed a Website Training for Business Contributors on OCF Form 32, which was referred to the Chamber of Commerce by link.

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, 2019 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 FY20 and FY21, 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 FY20 and FY21, to date, follows:

FY 2020

Total Contributors – 9773
Individual Contributors – 9218 (96% of Total Contributors)
Business Contributors – 555 (6 % of Total Contributors)

Individual Contributions to PCCs
5718

Individual Contributions to PACs
3500

Business Contributions to PCCs
359

Business Contributions to PACs
196

FY 2021

Total Contributors – 2069, to date
Individual Contributors – 1996 (96 % of Total Contributors)
Business Contributors – 73 (4% of Total Contributors)

Individual Contributions to PCCs (FY 2021: 10/1/20- 1/31/21)
1445

Individual Contributions to PACs (FY 2021: 10/1/20 – 1/31/21)
551

Business Contributions to PCCs (FY 2021: 10/1/20 – 1/31/21)
53

Business Contributions to PACs (FY 2021: 10/1 /20 – 1/31/21)
20

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.

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

a. Please complete the tables below for the 2020 election cycle.
b. How many participating candidates qualified for the Fair Elections Program for the 2020 election cycle? How many candidates sought certification for the program but did not qualify?

RESPONSE:

The Office of Campaign Finance certified 32 candidates as participating candidates in the Fair Elections Program during the 2020 Election Cycle, which was the first election cycle of the Program, as follows: Twenty (20) Candidates were certified in the November 2, 2020 General Election; and Twelve (12) Candidates were certified in the June 2, 2020 Primary Election. A total of 50 candidates registered seeking to participate in the Fair Elections Program during the 2020 Election Cycle, and 18 did not meet the threshold requirements. In addition, the Office of Campaign Finance certified four (4) Candidates in the Fair Elections Program to participate in the June 16, 2020 Special Election. A total of six (6) candidates registered seeking to participate in the Program during the 2020 Special Election, and two (2) did not meet the threshold requirements. The certification of candidates seeking participation in the Fair Elections Program provides the financial ability and impetus for those individuals who may not have otherwise considered elective office to compete in the electoral process, while also amplifying the voice of the qualified small dollar resident individual contributor whose contribution is matched.

Moreover, the following FEP candidates were elected to public office in the November 3, 2020 General Election and certified as winners by the Board of Elections on December 2, 2020:

1. Christina D. Henderson, At-Large Member of the Council
2. Janeese Lewis George, Ward Four Member of the Council
3. Trayon White, Ward Eight Member of the Council
4. Allister Chang, Ward Two Member of the State Board of Education
5. Frazier O'Leary, Ward Four Member of the State Board of Education
6. Eboni-Rose Thompson, Ward Seven Member of the State Board of Education
7. Carlene D. Reid, Ward Eight Member of the State Board of Education

As of February 10, 2021, the total sum of **$4,016,797.64** has been disbursed from the Elections Fund in Base Amount and Matching Payments, to the thirty-six (36) candidates who were certified in the Fair Elections Program to participate in the June 2, 2020 Primary Election, the June 16, 2020 Special Election, and the November 3, 2020 General Election; and as of March 1, 2021, the total sum of $$132,268.90 has been remitted for deposit in the Fair Elections Fund from the campaign operations of Participating Candidates in the June 16, 2020 Special Election, the June 2, 2020 Primary Election and the November 3, 2020 General Election.

More specifically, the following Committees have, to date, Remitted funds from the June 16, 2020 Special Election:

1. Patrick Kennedy for Ward 2 Special Election, $39,252.38 received by Committee Check on January 11, 2021.

2. Jordan Grossman for Ward 2 Special Election, $20,510.08 received by Committee Check on January 21, 2021.

The following Committees have, to date, Remitted funds from the June 2, 2020 Primary Election:

1. Evans 2020, $795.64, received by Committee Check on December 10, 2020.

2. Patrick Kennedy for Ward 2, $30,201.49 received by Committee Check on January 11, 2021.

3. Jordan Grossman for Ward 2, $3,937.94 received by Committee Check on January 21, 2021, and $120.84 received by Committee Check on February 9, 2021.

4. Yilin Zhang For Ward 2, $5,782.05 received by Committee Check on February 12, 2021, and $5,782.05 received by Committee Check on February 21, 2021.

The following Committees have, to date, Remitted funds from the November 3, 2020 General Election:

1. Let's Reid 2020, $876.04 received by Committee Check on December 10, 2020.

2. Frazier for Ward 4, $409.58 received by Committee Check on December 10, 2020.

3. Friends of Christina Henderson, $17,457.49 received by Committee Check on December 29, 2020.

4. Karen for 7SBOE 2020, $6.50 received by Committee Check on January 21, 2021.

5. Committee to Elect Jeanne' Lewis for City Council, $1,439.94 received by Committee Check on February 9, 2021.

6. Chander for Council, $5,696.88 received by Committee Check on February 11, 2021.

Last, the Fair Elections Division initiated the Post-Election Audit Program for the campaign operations of the ten (10) candidates who were certified and participated in the June 2, 2020 Primary Election, and did not proceed to the November 3, 2020 General Election; and the four (4) candidates who were certified and participated in the June 16, 2020 Special Election. The Audits were initiated by correspondence dated June 19, 2020 for the Primary Election Candidates, and July 6, 2020 for the Special Election Candidates , which required the Candidates to submit all of their financial records to the Office of Campaign Finance from the date of the respective registration of the principal campaign committee to the date of the Election. The Audits are ongoing. The Audits will ensure the proper use of public funds received by candidates certified to participate in the Fair Elections Program during the 2020 Election Cycle.

c. Were any Fair Elections certifications revoked by OCF? Of those revoked, were any appealed, and if so, what was the outcome? Were all funds properly remitted?

RESPONSE:

To date, thirty-two (32) candidates were certified as participating candidates in the Fair Elections Program and one (1) certification was revoked by the OCF. The Office of Campaign Finance certified 32 candidates as participating candidates in the Fair Elections Program during the 2020 Election Cycle, as follows: Twenty (20) Candidates were certified in the November 2, 2020 General Election; and Twelve (12) Candidates were certified in the June 2, 2020 Primary Election. A total of fifty (50) candidates registered seeking to participate in the Fair Elections Program during the 2020 Election Cycle, and eighteen (18) did not meet the threshold requirements. In addition, the Office of Campaign Finance certified four (4) Candidates in the Fair Elections Program to participate in the June 16, 2020 Special Election, and six (6) candidates in total registered, and two (2) did not meet the threshold requirements. The revoked candidate did not remit funds as of this date, but the campaign operations of the candidate are under a full field audit by the Fair Elections Program.

d. **Did any candidate seeking certification/participating candidate receive a contribution from a Fair Elections Committee ("FEC")? If so, which candidate(s), from which FEC(s), and in what amount(s)? Were any FECs established?**

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.

e. **Did any candidate seeking certification/participating candidate contribute 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 contributed their own personal funds or received those of their immediate family member, as listed below, by name of Committee and total contribution(s):

Candidates/Family Contributions	
Committee	
Chander for Council	$354.00
Committee to Elect Dontrell Smith	$220.00
Committee to Elect Janeese Lewis George	$2,500.00
Committee to Elect Jeanne' Lewis for City Council	$2,100.00
Committee to Elect Mario Cristaldo	$200.00
Committee to Elect Renee Bowser	$2,500.00
Committee to Elect Stuart Anderson 2020	$1,135.71
Daniel Hernandez For Ward 2	$2,393.71
Ed Lazere for DC Council At-Large	$900.00
Evans 2020	$150.00
Evans Ward 2	$35.89
Fanning for Ward 2 Special Election	$50.00
Franklin for DC 2020	$50.00
Frazier for Ward 4	$20.00
Friends of Allister Chang	$20.00
Friends of Christina Henderson	$452.72

Gaston 2020	$176.00
Green for Ward 7	$20.00
James for Ward 2 State Board of Education	$300.00
John Fanning for Ward 2	$220.00
Jordan Grossman for Ward 2	$2,500.00
Karen for 7 SBOE 2020	$20.00
Let's Reid 2020	$200.00
Markus for DC	$309.98
Martin for Ward 2	$800.00
Patrick Kennedy for Ward 2	$1,516.96
Randy Downs for Ward 2	$185.00
Vincent Orange 2020	$200.00
Vote Fria Moore 2020	$192.39
Will Merrifield for DC	$2,500.00
Yilin Zhang for Ward 2	$200.00
Total	$19,214.26

f. **Did any candidate seeking certification/participating candidate accept funds other than those authorized under the statute? If so, what was accepted and how was it 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.

g. Did any participating candidate make an unauthorized expenditure under the statute? If so, please elaborate.

RESPONSE:

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

h. Did the agency undertake any enforcement actions against a participating candidate? If so, please elaborate.

RESPONSE:

The Office of the General Counsel (OGC) issued 9 Orders Requiring the Remission of Funds to Fair Elections Program (FEP) candidates who were unsuccessful in the June 2, 2020 Primary Election, 4 Orders Requiring the Remission of Funds to FEP candidates who were unsuccessful

in the June 16, 2020 Special Election in Ward 2, and 20 Orders requiring the Remission of Funds to FEP candidates who were unsuccessful in the November 3, 2020, General Election. In addition, the OGC initiated enforcement proceedings against 11 Certified FEP candidates who failed to timely file required Reports of Receipts and Expenditures and 15 FEP applicants who did not achieve certification. The OGC also issued one (1) order of Revocation against an FEP candidate who withdrew from the campaign prior to the June 2, 2020 Primary Election.

During FY 2021 to date, the OGC imposed a fine of $500.00 against an FEP candidate pursuant to an Investigation in which it was determined that the candidate used government resources for campaign purposes.

i. **How much public funding did OCF disburse to participating candidates in FY19, FY20 and FY21, to date? How much remained unexpended? Has OCF completed disbursements of funds for the 2020 election cycle? If not, how much does OCF anticipate disbursing in the remainder of FY21?**

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; In FY20, OCF disbursed Two Million Eight Hundred Sixty-Three Thousand Two Hundred Thirty Nine ($2,863,239.25) dollars and Twenty-Five Cents, in public funding to participating candidates in the 2020 Election Cycle, and in Fiscal Year 2021, to date, the total sum of Four Hundred Forty-One Thousand Seven Hundred Twenty-Two Dollars ($441,722.90) and Ninety Cents was disbursed. In addition, Three Hundred Thousand, Three Hundred and One ($345,301.65) dollars and Sixty-Five Cents to participating candidates in the June 16, 2020 Special Election. The Summary of the Revised Budget and Expenditures for Fiscal Years 2019, 2021 and 2021, as of March 1, 2021, is as follows:

Agy Fund	Comp Object	FY 2019 APPROVED BUDGET	FY 2019 REVISED BUDGET	FY 2019 EXPENDITURES	BASE PAYMENT	MATCH PAYMENT	# Candidate	Carry-over
0101 FAIR ELECTIONS FUND	0507 SUBSIDIES	555,000.00	555,000.00	368,615.10	100,000.00	268,615.10	6	440,159.76

Agy Fund	Comp Object	FY 2020 APPROVED BUDGET	FY 2020 REVISED BUDGET	FY 2020 EXPENDITURES	BASE PAYMENT	MATCH PAYMENT		Carry-over
1121 FAIR ELECTIONS FUND	0507 SUBSIDIES	-	3,561,561.62	2,863,239.25	850,000.00	2,013,239.25	32	618,789.10
1121 FAIR ELECTIONS FUND - CARRYOVER from FY 2019		-	205,159.76					
1121 FAIR ELECTIONS FUND - CUT		-	(400,000.00)					
1734 SPECIAL ELECTION/CONTINGENCY RESERVE	0507 SUBSIDIES	-	700,000.00	345,301.65	160,000.00	185,301.65	5	
Grand Total		**0.00**	**4,066,721.38**	**3,208,540.90**	**1,010,000.00**	**2,198,540.90**		**618,789.10**

Agy Fund	Comp Object	FY 2021 APPROVED BUDGET	FY 2021 REVISED BUDGET	FY 2021 YTD EXPENDITURES	BASE PAYMENT	MATCH PAYMENT	# Candidate	Carry-over
1121 FAIR ELECTIONS FUND	0507 SUBSIDIES	4,256,744.11	4,256,744.11	441,722.90	10,000.00	431,722.90	18	
1121 FAIR ELECTIONS FUND - CARRYOVER from FY 2020	0507 SUBSIDIES		618,789.10					
1121 FAIR ELECTIONS FUND - Returned from Candidates	0507 SUBSIDIES			(132,268.90)		(132,268.90)		
Grand Total		**4,256,744.11**	**4,875,533.21**	**309,454.00**	**10,000.00**	**299,454.00**		

j. Based on the 2020 election cycle, how much funding does OCF estimate needing for disbursement of funds in the 2022 election cycle? Please break this down by needs for FY21 and FY22.

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. 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.

The covered offices scheduled for election during 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). To determine the estimates for the amount of public funds needed 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, the most recent completed election cycle for these offices, times the matching fund cap for the respective covered offices. For the projected base amount payments required for the 2022 Election Cycle, the Agency multiplied the statutory amounts for the respective covered offices also by 50% of the number of candidates who participated in the 2018 Election Cycle and qualified for ballot access. More specifically, it is anticipated that at a minimum, at least 50% (27) of the number of candidates who participated in the 2018 Election Cycle and qualified for ballot access (48) , will qualify for certification in the Fair Elections Program.

Therefore, the OCF projected, at a minimum, the total sum of $21,567,225.40 would be required to support the Elections Fund for the 2022 Election Cycle, which sum includes $20,157,225.40 for matching payments, and $1,410,000.00 for base amount payments. These projections assume all 27 candidates anticipated to seek certification in the Program, based on the participation in the 2018 Election Cycle, the most recent Election Cycle for the covered offices to be elected during 2022, will meet the maximum caps calculated for the matching payments allowed for the respective covered offices, and that all 27 candidates will be entitled to the payment of the Base Amount specified for the respective covered offices.

The 2022 Election Cycle will cross Fiscal Years 2021, 2022, and 2023, and to ensure the availability of public funds during this timeframe, the allocation of the sum of $21,567,225.40 was recommended during these Fiscal Years based on the activity anticipated 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. The sum of $3,666,428.32 is included in the OCF Approved Fiscal Year 2021 Budget; and the sum of

$15,744,054.54 is proposed for the Elections Fund in the Fiscal Year 2022 proposed OCF Budget.

Briefly, by way of background, the estimated costs for the FEP Program during Election Cycle 2020 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 FY 19, a total of seven (7) 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 in FY 19 for Base Amount and Matching Payments in the total sum of $368,615.10. During FY 20, 53 additional candidates registered their intent to participate in the Program, and only 31 of these candidates were subsequently certified in the FEP. The Office of Campaign authorized the disbursement of $2,863,239.25 in FY 20 for participating candidates in the 2020 Election Cycle, with the sum of $618,789.10 carried over and recorded in the CJO's Fiscal Year 2021 FEP Budget on November 19, 2020. Only five of the participating candidates in the 2020 Election Cycle reached the matching cap for the covered office sought, which may also account for the funds remaining at the end of Fiscal Year 2020. In addition, during FY 20, a Special Election was conducted on June 16, 2020 to fill the vacancy created by the resignation of the Member of the Council from Ward 2. The additional sum of $700,000.00 was allocated for the base amount and matching payments anticipated for the Special Election. The Office of Campaign Finance authorized the payment of $345,301.65 in public funds during the Special Election Cycle, and the remaining sum of $354,698.35 was returned to the Treasury.

Overall, during Fiscal Years 2019, 2020, and 2021, to date, the total sum of $3,671,495.99 has been expended from the Fair Elections Fund for the payment of Base Amounts and Matching Payments for the 2020 Election Cycle. The sum of $3,671,495.99 does not include the expenditures of $345,301.65 from the allocation of $700,000.00 to fund the costs of the June 16, 2020 Special Election. As stated previously, the estimated costs for the 2020 Election Cycle were split as follows: 17% ($550,000) (actual expenditures: $368,615.10) in FY19; 73% ($3,181,272) (actual expenditures: $2,863,239.25) 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) (actual expenditures: $$439,641.64) in FY21. Thus far, the actual expenditures have fallen below the cost projections for the 2020 Election Cycle, which provided for the maximum payout amounts for base and matching funds for the maximum number of candidates anticipated to qualify as participating candidates in the Fair Elections Program. Again, only five (5) of the 32 certified candidates in the 2020 Election Cycle reached the maximum matching cap; however, the number of qualified small dollar contributions collected by the participating candidates in all likelihood was affected by the challenges of fundraising during a pandemic.

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 last date also for the qualification of small dollar contributions for match. 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 seats 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. Following the expiration of the qualifying periods, candidates will no longer be able to qualify for certification to participate in the Fair Elections Program during the 2022 Election Cycle.

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. There are twenty-four (24) filing deadlines during Election Cycle 2022 for the submission of financial reports in the Fair Elections Program which may require the disbursement of base amount and matching payments, as follows: in Fiscal Year 2021, four (4) filing deadlines on (mandatory) January 31st and July 31st, and on (optional) August 31st and September 30th; in Fiscal Year 2022, 18 filing deadlines on (mandatory) October 10th, December 10th, January 31st, March 10th, April 10th, May 10th. 8 Day Pre-Primary Report, June 10th, and August 10th, and on (optional) October 31st, January 10th, February 10th, March 30th, April 30th, June 30th July 10th , August 31st, and September 30th ; and in Fiscal Year 2023, two (2) filing deadlines on (mandatory) October 10th and 8 Day Pre-General Election Report.

k. What implementation issues, if any, did OCF encountered with the Program in the 2020 election cycle?

RESPONSE:

As the Committee was previously informed, the Agency encountered the following issues during the implementation of the Fair Elections Program in FY19, and none, to date, in FY20 or FY21:

e. **Upload of Documents**. During the filing of Receipts and Expenditures Reports ("Reports"), 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 consistently addressed through further instruction, however, some candidates continued to have difficulty following the established procedures. Occasionally committees continued to upload 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 issue was addressed and corrected through the resubmission of documents.

f. **Verification of Contributor Information**. The verification process for approval of small dollar contributions for match is dependent upon the submission of the Receipt and Affirmation Statement For Contributor form ("Receipt and Affirmation Statement"), also known as the contributor's card (Contributor's Card"), which contains the Affirmation Statement of the Contributor, completed by the candidate for each contribution. Several issues continue to exist because the entire language of the Affirmation Statement was not always 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 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. For the most part, this matter was rectified after several meetings and telephone calls with the respective treasurers of the non- compliant campaigns.

g. **Failure to Submit Supporting Documentation.** Despite detailed instruction from FEP auditors some candidates continue to submit insufficient documentation with their financial Reports, which necessitates a Request for Additional Information (RFAI) to be issued, following the desk review of the Report by the OCF, Fair Elections Program Division. The dilatory practice of submitting the required documentation resulted in a delay of the review and a resulting deficiency for the candidate who is attempting to qualify for matching funds.

Continuous failures by a few candidates have resulted in a denial, which requires a written explanation by the Director of the OCF. The failure to provide supporting documentation occurred in 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.

h. **Excessive Contributions.** On numerous occasion(s) committees accepted contributions that exceeded the qualified small dollar donation amount of the office sought. 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.

l. Are the Fair Elections Program e-filing upgrades complete? If not, when will the upgrades be completed?

RESPONSE:

The Office of Campaign Finance completed and launched the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program (FEP) during Fiscal Year 2020. Overall, Phase II enables the public to sort, search, retrieve, and download contribution and expenditure data; and to view registration disclosures and financial report data, quick statistics, and payout information. The Administrative Modules provide applications which store data pertinent to the audit process, payouts, filings, registrations, and the post-election cycle reports.

Briefly, by way of background, the First Phase of the development of the FEP E-Filing System was completed on July 26, 2019. Phase I enables the online submission of financial reports at the

OCF Web Site by the candidates and committees who register 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. Once the financial report is submitted, the system generates a PDF version of the entire report, which is made available to the public. The PDF version does not include the contribution cards, or any attachments associated with the report. The FEP candidates report their receipts and expenditures online, through the data entry/excel upload of contribution and expenditure information, on the Receipt/Contributor and Expenditure Schedules, including supporting documentation (bank statements, deposit slips, loan documents, and contributor receipts and certifications). The Excel Module features validation of excess contributions; address validation against USPS; merger of duplicate contributors; logging of all excel uploads; and receipts upload of one contribution card for each contribution or one pdf file covering multiple contributions with option to link page number or the pdf file to contributions. To use the excel feature, the filer must first download a template file, populate the template file, and upload into the system. The Receipt and Expenditure Schedules support the sortable listing of records with cumulative amounts, where appropriate, and contribution limit validation based on the requirements for the covered offices, cash contributions, personal funds of a candidate/personal family member, and committees (Fair Election Committees). Certain Receipt Schedules support auto complete of contributor information to simplify data-entry for recurring contributions, and contribution limits may be adjusted by the OCF Staff for each election cycle. Each Schedule A (Receipts) and Schedule B (Expenditures) of the R & E Report displays the number of records entered for the Schedule. The R & E Report Schedules for Schedules C (Mass Collections), D (Debts), and E (Loans), and the Summary Page were also made available for e-filing during Phase One. A registration module is available at the Website for FEP candidates, and the following FEP Forms may be pre-populated and downloaded: 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. In addition, the OCF Website was enhanced to include a "slider" dedicated to the Fair Elections Program, with a link designed to feature information solely relative to the Program. The link is routinely updated as information becomes available.

The development and design of the Second Phase of the FEP E-Filing and Disclosure System focused on providing greater public disclosure of campaign related data and information and expanded the administrative management of the System. On November 4, 2019, the Agency initiated Requisition No. K140026 ($133,764.00, approximate cost; approved March 13, 2020), for the procurement of the development and design of the Second Phase of the E-Filing and Disclosure System for the Fair Elections Program. Specifically, Phase II provides Reports, for public viewing and download at the OCF Website, and for administrative use, including the Post-Election Reports of the Agency which are due nine (9) months after an election and will detail the election activity, as specified in D.C. Official Code Section 1-1163.32j; Summary Contribution and Expenditure Reports which allow the public to search committee reports by filer type, filing year and report name, and request report data by denomination or donor or expenditure type and purpose; and Administrative Lists of Filers/Non-Filers for a selected report. A Fair Elections Program Statistics Module has been designed with a Public Search Feature to obtain by Election Year, the total number of registered and certified candidates, the total amount of public fund payments, and the total amount of remissions; the Numbers by Office of candidates registered and certified, with total contributions, and public payments disbursed provided for each; and for the Election Year selected, statistics for the "Top 10 Candidates" by "Number of DC Supporters", "Number of Non-DC Supporters", Total Contributions Received",

"Total Expenditures", "Public Funds Received" and "Total Contributions from Self/Family". The OCF Website also offers the public, the "Fair Elections Candidates Payment and Information" Link, which presents "Payments Made To-Date", the "Total Base Payments", the "Total Matching Payments' and "Total Payments Made", in total for all committees combined as well as separately for each committee. Further, access is provided at this Link to the following Reports: Filer Reports; Contributions/Receipts; Expenditures; Audit Reports; Orders; and to the afore-mentioned FEP Statistics.

The FEP Contributions and Expenditures Public Search Feature with data download based on the financial reports filed online by the Fair Elections candidate committees enables 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, the public search features allow the link to a candidate's Registration Disclosures, which provide the date of registration, the listing of chairperson and treasurer, public fund payouts by type, amount, and date, financial reports filed, and any audits or orders issued to the committee.

The OCF Administrative Modules include a "Fair Elections Dashboard" available upon login which presents the total number of registered candidates, the total number of active candidates, the total number of candidates who have reached the cap, total numbers for various stages of the certification process, and the totals for base amount and matching fund payouts. The FEP Dashboard also lists the FEP candidates, with links to the candidate's registration disclosure, and provides for each candidate listed, the committee name, the office sought, certification status, base amount and matching fund payouts, and the number of reports filed. Administrative Reports were developed during Phase II to assist the OCF Staff in the management of the Fair Elections Program. The Flagged Contributions Report enables the Agency to run reports for all filer types to identify the committees which received excessive contributions (in the aggregate), and to research excessive contributions by filer type, filing year and report name. Excessive contributions may be grouped by contributor name; similar sounding names; similar spelling names; and contributor address. The System administratively has 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; and to identify the use by committees of the excel upload feature to file reports, and the template (report schedule) imported by the committee, the import date and time, the total number of records entered and imported, and the number of invalid records and valid but not imported records. Within the committee registration module, the OCF uses a checkoff to identify whether a candidate has attended a required entrance conference, and to generate from the data entered an attendance and non-attendance list; manages the various covered offices under the Fair Elections Program, and assigns the respective applicable election year(s) and contribution limits for each; manages and sets the election (general, primary, and special) dates for applicable covered offices as mandated by law; and creates 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.

The System enables the filer to register their committee online and amend the registration statement based upon OCF approval. The completed registration statement is automatically emailed to the filer for signature along with a link for the filer to create login information. The filer has 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.

Last, an online Training module was designed to enable filers to complete the mandatory Entrance Conference Training online.

m. What plans does the agency have to conduct outreach and community engagement regarding the Program in the remainder of FY21? FY22?

RESPONSE:

During the Fiscal Year 2020, the FEP Division Outreach Efforts to inform the public about the Fair Elections Program consisted of the following visits to various ANC meetings, attended one-(1) community events and prepared one (1) public service announcement, to educate the public about the program, as follows:

DATE	ANC		DATE	ANC
February 4, 2020	ANC 6E		October 10, 2019	3B
February 12, 2020	ANC 4C			
February 18, 2020	ANC 3F			
February 20, 2020	ANC 7B			
February 24, 2020	ANC 2A			
February, 2020	ANC 8A			
March 3, 2020	ANC 4A			
June 9, 2020	ANC 6B			
September 16, 2020	ANC 4D			

On November 20, 2019, the FEP Division participated in the DC Federation of Civic Associations meeting.

The FEP Division recorded a Public Service Announcement with WTOP FM Radio airing between February 1, 2019 through November 1, 2020, on DCTV Cable. In addition, FEP's brochures were distributed to DCTV, which appeared on the bulletin board Monday through Friday from 10:00am to 11:00am and Sunday from 9:00am through 11:00am, throughout the 2020 Election Cycle.

During Fiscal Year 2020, there were Fourteen (14) Entrance Conferences held for the public and prospective candidates, in which a presentation was made by the FEP Staff, informing the attendees about the protocols and parameters of the Fair Elections Program, as follows:

Entrance Conference Dates	
October 9, 2019	February 26, 2020
October 23, 2019	May 31, 2020 *
November 7, 2019	June 30, 2020 *
November 20, 2019	July 31, 2020*
December 4, 2019	August 31, 2020*
January 15, 2020	September 30, 2020*
January 29, 2020	
February 12, 2012	
February 12, 2020	

*Conferences were conducted via a PowerPoint presentation emailed to the participant. Individuals listed for these dates had completed the conference by the end of the respective month they are listed. A total of new candidates and treasurers registered in the Fair Elections Program completed the OCF Mandatory Entrance Conference.

The Office of Campaign Finance conducted three (3) meetings with the members of the public and community organizations, in connection with the development and implementation of the Fair Elections Program, as follows:

1. October 24, 2019, Planning Focus Group
2. February 20, 2020, Planning Focus Group
3. September 3, 2020, Planning Focus Group (Virtual Meeting)

During, FY21, the OCF, Fair Elections Program will continue to conduct outreach and community engagement and strengthen the outreach through virtual formats. 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; and utilize the OCF social media platforms to keep residents informed about the 2022 Election Cycle, and any other information concerning the activities in the Office of Campaign Finance. The FEP will continue to foster relationships with organizations to develop co-sponsors with the OFC for the mandatory debates for citywide contested elections.

n. What are the agency's reflections on the debate requirement, having now conducted a series of debates during the 2020 cycle?

The Office of Campaign Finance submits that the Debate Requirement is a critical tool of the Fair Elections Program, which, notwithstanding the challenges of keeping the District Residents informed about Election Cycle 2020, provided the District Residents with the unique opportunity to hear directly from the candidates for office in the city-wide contested races in the November

3, 2020 General Election. Because the 2020 Election Cycle was interrupted by the COVID-19 pandemic, campaigns were not able to utilize what has become the norm for introducing candidates in the community, "Meet and Greet the Candidate" events hosted in businesses or the homes of residents, the operation of candidate booths at community festivals, or onsite candidate forums at churches, and the meetings of neighborhood associations or organizations, to name a few. The Office of Campaign Finance developed the Debate Program as required by the Fair Elections Act 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. All candidates running in city-wide contested elections, who have been certified as "participating candidates" in the FEP Program, are mandated by law to participate in the debates.

The implementation of the Debate Program for the contested city-wide races in the November 3, 2020 General Election included the following:

- Selection of the brand for the OCF hosted virtual debates - "2020 DC Debates."
- Confirmation of the request for the Washington Post moderators for the 2020 DC Debates, Fenit Nirappil, for the Council At-Large and Perry Stein, for the State Board of Education.
- Identification of the fourteen (14) partners affiliated with the 2020 DC Debates, hosted by OCF, namely: Fair Budget Coalition, DC Action for Children, HBCU Collective, Community Enrichment Project, Washington Area Bicyclist Association, Advisory Neighborhood Commission 4B, SET POINT, Inc., DC Jobs with Justice, Federation of Citizens Associations of the District of Columbia, DuPont Circle Citizens Association, Southwest Neighborhood Assembly, blackplatform.org, DC Federation of Civic Associations and Breath DC. The partners were non-monetary partners requested to promote the 2020 DC Debates, on their respective social media platforms. All partnerships with OCF 2020 DC Debates were with non-partisan entities.
- Registration for the virtual 2020 DC Debates closed on September 18, 2020, reopened on September 21, 2020, to allow additional participants the opportunity to register.
- Advertisements for the scheduled virtual 2020 DC Debates were placed on bus exteriors, on various routes, throughout the DC area.
- Advertisements for the 2020 DC Debates were on the following radio stations: WASH-FM, WBIG-FM, WDCH-FM,WHUR-FM, WITH-FM,WKYS-FM, WMMJ-FM,

WMZO-FM, WOL-AM, WPRS-FM, WTEM-AM, WTOP-FM, WWDC-FM, WAMU-FM, WLZL-FM, resulting in 191 spots running over two weeks.

- For the digital buy- 2.1 million ads were served, and over 2,500 people clicked on the ads taking them to the website, resulting in a solid response.

- A press release on the 2020 DC Debates was disseminated to all candidates, appearing on the ballot for the November 3, 2020 General Election, in the District of Columbia and the public. A second OCF press release on the 2020 DC Debates was issued. Information on the 2020 DC Debate was published on the website at 2020dcdebates.com. listing the name, headshot photograph and a brief description of the campaign platform for each registered participant.

- The 2020 DC Debates were streamed at 2020dcdebates.com and rebroadcasted, on the Board of Elections (BOE) website, DC cable channel and OFC and BOE, designated You Tube pages. American Sign Language (ASL) and Spanish interpreters were provided for all the scheduled virtual 2020 DC Debates.

The virtual 2020 DC Debates took place on September 29 and 30, 2020, as follows:

<u>September 29, 2020:</u>

At Large State Board of Education Debate: 4:30-6:00 PM, 6 participants

At Large Council Debate #1 7:30 PM - 9:00 PM, 5 participants

<u>September 30, 2020:</u>

At Large Council Debate #2: 5:00 PM-6: 30 PM, 7 participants

At Large Council Debate #3: 8:00 PM-9: 30 PM, 6 participants

The complete list of registered participant candidates for the 2020 DC Debates is published on the debate website at 2020dcdebates.com and on OCF website.

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

a. Please complete the tables below.

Candidates Name	Office Sought	Date Candidate Sought Fair Election Certification	Date Candidate Qualified as a Fair Elections "Participating Candidate"	No. of Small-Dollar Contributors at Qualification	No. of Qualifying Small-Dollar Contributions ("QSDCs") at Qualification	Average QSDC $ Value at Qualification	Total $ Value of QSDCs at Qualification	No. of Cash QSDCs at Qualification	No. of Non-District Resident Individual Contributions at Qualification	No. of Non-District Resident Individual Contributors at Qualification	Total $ Value of Non-District Resident Individual Contributions at Qualification	Average Non-District Resident Individual Contribution $ Value at Qualification
Nate Brown	Council At-Large	2/4/2020	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	4/8/2019	8/15/2019	220	217	$40.41	$8,769.00	6	38	37	$1,545.00	$41.75
Jordan Grossman for Ward 2	Council Ward 2	5/15/2019	8/15/2019	427	423	$42.17	$17,836.02	1	209	204	$9,346.00	$44.72
John Fanning for Ward 2	Council Ward 2	6/3/2019	9/18/2019	193	167	$39.16	$6,540.00	10	15	15	$720.00	$48.00
Daniel Hernandez For Ward 2	Council Ward 2	6/4/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Kishan for DC 2020 Ward 2	Council Ward 2	6/26/2019	8/15/2019	270	267	$33.50	$8,943.00	1	89	88	$3,542.00	$39.80
Yilin Zhang for Ward 2	Council Ward 2	9/12/2019	12/31/2019	164	162	$32.80	$5,313.00	11	47	46	$1,960.00	$42.60
Evans 2020	Council Ward 2	1/30/2019	3/10/2020	204	196	$48.85	$9,575.00	0	3	3	$105.00	$35.00
Katherine For Ward 2	Council Ward 2	1/24/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Committee to Elect Janesse Lewis George Ward 4	Council Ward 4	8/5/2019	9/17/2019	323	307	$40.03	$12,290.00	5	73	72	$2,708.00	$37.09
Committee to Elect Renee Bowser Ward 4	Council Ward 4	11/6/2019	1/21/2020	167	161	$45.93	$7,395.00	0	20	20	$1,000.00	$50.00
Green for Ward 7	Council Ward 7	7/16/2019	11/22/2019	186	167	$30.17	$5,038.00	6	13	13	$490.00	$37.69
Kelvin Brown for DC Council Ward	Council Ward 7	8/13/2019	3/10/2020	175	171	$30.20	$5,164.00	15	158	133	$5,015.00	$31.74
Rosenberg 2020	Council Ward 7	8/14/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

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Committee to Elect Stuart Anderson 2020	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
Vote Fria Moore 2020	Council Ward 8	1/13/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Mike for Ward 8	Council Ward 8	1/17/2020	3/10/2020	155	154	$35.16	$5,415.00	32	28	28	$995.00	$35.53
Danielle Platt For Ward 8	Council Ward 8	1/30/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Re-Elect Trayon White 2020	Council Ward 8	1/31/2020	3/10/2020	218	208	$40.78	$8,482.00	10	39	39	$1,665.00	$42.69
Jordan Grossman for Ward 2 Special Election	Ward 2 Special Election	1/13/2020	2/18/2020	193	189	$39.41	$7,448.61	0	25	25	$1,225.00	$49.00
John Fanning for Ward 2	Ward 2 Special Election	1/22/2020	4/18/2020	187	183	$37.59	$6,879.20	19	9	9	$331.00	$36.78
Patrick Kennedy for Ward 2 Special Election	Ward 2 Special Election	1/17/2020	3/10/2020	174	164	$44.88	$7,361.00	14	1	1	$50.00	$50.00
Kishan For Ward 2 Special Election	Ward 2 Special Election	1/21/2020	2/25/2020	169	165	$34.48	$5,689.00	0	8	8	$400.00	$50.00
Evans Ward 2	Ward 2 Special Election	1/30/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Katherine For Ward 2 Special	Ward 2 Special Election	1/24/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Dale For DC	Council At-Large	6/28/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Gaston 2020	DC State Board of Education Ward 8	10/9/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Committee to Elect Taurus Phillis	Council Ward 8	9/11/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Monica Palacio for City Council	Council At-Large	2/18/2020	7/14/2020	270	262	$54.35	$14,241.00	N/A	48	48	$2,840.00	$59.16

Candidates Name	Office Sought	Date Candidate Sought Fair Election Certification	Date Candidate Qualified as a Fair Elections "Participating Candidate"	No. of Small-Dollar Contributors at Qualification	No. of Qualifying Small-Dollar Contributions ("QSDCs") at Qualification	Average QSDC $ Value at Qualification	Total $ Value of QSDCs at Qualification	No. of Cash QSDCs at Qualification	No. of Non-District Resident Individual Contributions at Qualification	No. of Non-District Resident Individual Contributors at Qualification	Total $ Value of Non-District Resident Individual Contributions at Qualification	Average Non-District Resident Individual Contribution $ Value at Qualification
Chander for Council At Large	Council At-Large	10/18/2019	1/21/2020	289	286	$60.56	$17,503.00	5	48	48	$3,542.00	$73.79
Friends of Christina Henderson for Council At-Large	Council At-Large	1/31/2020	2/14/2020	280	274	$60.23	$16,503.00	1	138	136	$9,329.00	$67.60
Markus for DC 2020 Council At Large	Council At-Large	10/11/2019	2/21/2020	300	290	$47.17	$13,679.00	1	94	91	$2,916.00	$31.02
Ed Lazere for DC Council At-Large	Council At-Large	3/17/2020	4/30/2020	609	586	$64.74	$37,782.20	0	90	89	$5,444.00	$60.49
Will Merrifield for DC	Council At-Large	2/12/2020	3/10/2020	309	304	$41.48	$12,610.00	45	55	53	$3,775.00	$68.64
Let's Reid	DC State Board of Education Ward 8	1/10/2020	2/19/2020	60	60	$18.75	$1,125.00	5	97	97	$1,844.00	$19.01
Boston for State Board of Education Ward 7 2020	DC State Board of Education Ward 7	9/19/2019	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	State Board of Education At-Large	1/3/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Franklin for DC 2020	Council At-Large	1/3/2020	7/14/2020	349	329	$41.20	$13,557.00	106	60	60	$3,135.00	$52.25
Committee to Elect Mario Cristaldo	Council At-Large	12/23/2019	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 for City Council	Council At-Large	12/15/2019	6/10/2020	292	276	$48.06	$13,266.00	19	110	109	$7,885.00	$72.33
Christopher Cole for Ward 8	Council Ward 8	10/30/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

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Holcomb for SBOE	D.C. State Board of Education Ward 7	10/22/2019	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
James for Ward 2 State Board of Education	D.C. State Board of Education Ward 2	7/24/2020	9/11/2020	68	68	$16.10	$1,095.00	1	32	32	$335.00	$10.47
Friends of Allister Chang	D.C. State Board of Education Ward 2	7/31/2020	9/11/2020	87	85	$20.47	$1,740.00	8	12	12	$230.00	$19.17
Randy Downs for Ward 2	Council At-Large	7/21/2020	9/11/2020	316	315	$41.28	$13,005	1	79	78	$3,005.00	$38.53
Committee to Elect Eboni Rose Thompson for DC SBOE Ward 7	D.C. State Board of Education Ward 7	7/17/2020	9/11/2020	193	143	$27.09	$2,810.00	0	63	63	$1,235.00	$19.60
Committee to Elect Mysiki Valentine	D.C. State Board of Education At-Large	7/13/2020	8/17/2020	221	158	$27.72	$4,380.00	3	22	20	$376.00	$18.80
Washington for Ward 8 DC	D.C. State Board of Education Ward 8	7/9/2020	9/11/2020	55	55	$19.27	$1,060.00	5	44	44	$865.00	$19.66
Friends of Patricia Stamper	D.C. State Board of Education Ward 7	7/8/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Committee to Elect Dontrell Smith	D.C. State Board of Education Ward 7	7/9/2020	9/11/2020	149	138	$19.93	$2,750.00	7	145	143	$2,875.00	$20.10
Keith Silver for DC	Council At-Large	7/7/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

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Karen for 7 SBOE 2020	D.C. State Board of Education Ward 7	6/30/2020	7/31/2020	60	59	$20.00	$1,180.00	N/A	2	2	$40.00	$20.00
Vincent Orange 2020	Council At-Large	6/22/2020	9/11/2020	359	348	$54.25	$18,880.00	139	47	47	$3,065.00	$65.21
Martin for Ward 2	Council At-Large	6/17/2020	9/11/2020	188	182	$18.61	$1,417.40	N/A	98	95	$3,022.20	$31.81
Frazier for Ward 4	D.C. State Board of Education Ward 4	6/17/2020	7/31/2020	68	67	$20.00	$1,340.00	N/A	N/A	N/A	N/A	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	No. of Small-Dollar Contributors During Reporting Period	No. of QSDCs During Reporting Period	No. of Non-District Resident Individual Contributions During Reporting Period	No. 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
Friends of Allister Chang	$5,000	10/9/2020	7/31/2020-8/10/2020	$1,700.00	87	85	12	12	$8,500.00	$13,500.00	N/A
	$5,000	10/9/2020	8/11/2020-9/30/2020	$450.00	24	23	12	12	$2,250.00	$7,250.00	N/A
Green for Ward 7			7/16/2019-7/31/2019	$2,105.00	57	56	10	10	$10,525.00	N/A	N/A
			08/01/2019-10/10/2019	$430.00	23	12	3	3	$2,150.00	N/A	N/A
	$20,000.00	11/22/2019	10/11/2019-10/31/2019	$2,503.00	106	99	N/A	N/A	$12,515.00	$32,515.00	N/A
			11/01/2019-12/10/2019	N/A	14	0	0	0	N/A	N/A	N/A
			12/11/2019-01/31/2020	$1,842.00	75	64	11	11	$9,210.00	N/A	N/A
			2/1/2020-2/10/2020	N/A	22	0	1	1	N/A	N/A	N/A
	$20,000.00	4/13/2020	2/11/2020-3/10/2020	$1,185.00	59	35	5	5	$5,925.00	$25,925.00	N/A
Chander for Council At-Large	$20,000.00	1/30/2020	10/18/2019-1/10/2020	$17,788.00	290	290	48	47	$88,940.00	$108,940.00	N/A
			1/10/2020-1/31/2020	$590.00	8	8	1	1	$2,950.00	N/A	N/A
			1/31/2020-3/10/2020	$2,660.00	36	35	4	4	$13,300.00	N/A	N/A
			3/10/2020-4/10/2020	$1,310.00	20	20	1	1	$6,550.00	N/A	N/A
			4/10/2020-5/10/2020	$1,090.00	15	15	5	5	$5,450.00	N/A	N/A
			5/10/2020-6/10/2020	$750.00	9	9	1	1	$3,750.00	N/A	N/A
	$20,000.00	8/28/2020	6/10/2020-8/10/2020	$1,265.00	20	19	12	11	$6,325.00	$26,325.00	N/A
Friends of Christina Henderson	$20,000.00	2/21/2020	11/8/2019-1/31/2020	$16,503.00	280	274	138	134	$82,515.00	$102,515.00	N/A
			1/31/2020-3/10/2020	$2,995.93	47	47	32	32	$14,979.65	N/A	N/A
			3/10/2020-4/10/2020	$145.00	3	3	1	1	$725.00	N/A	N/A
			4/10/2020-5/10/2020	$1,050.00	17	17	4	4	$5,250.00	N/A	N/A
			5/10/2020-6/10/2020	$1,585.00	33	31	12	12	$7,925.00	N/A	N/A
			6/10/2020-7/10/2020	$3,362.07	55	51	10	10	$16,810.35	N/A	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	No. of Small-Dollar Contributors During Reporting Period	No. of QSDCs During Reporting Period	No. of Non-District Resident Individual Contributions During Reporting Period	No. 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
	$20,000.00	8/28/2020	7/10/2020-8/10/2020	$6,185.00	96	95	43	43	$30,925.00	$50,925.00	N/A
Committee to Elect Dontrell Smith	$10,000.00	8/31/2020	7/9/2020-8/10/2020	$2,750.00	149	138	145	144	$13,750.00	$33,750.00	
			8/10/2020-10/10/2020	$180.00	9	3	15	15	$900.00	N/A	10/10/2020
Let's Reid 2020	$5,000.00	2/25/2020	11/14/2019-1/10/2020	$815.00	42	42	70	70	$4,075.00	$9,075.00	N/A
			1/10/2020-1/31/2020	$310.00	18	18	27	27	$1,550.00	N/A	N/A
			1/31/2020-3/10/2020	$400.00	21	20	26	26	$2,000.00	N/A	N/A
			03/10/2020-4/10/2020	N/A	N/A	N/A	2	2	N/A	N/A	N/A
			4/10/2020-5/10/2020	$140.00	8	8	4	4	$700.00	N/A	N/A
			5/10/2020-6/10/2020	$80.00	4	4	8	8	$400.00	N/A	N/A
			6/10/2020-7/10/2020	$260.00	14	13	23	23	$1,300.00	N/A	N/A
	$5,000.00	8/28/2020	7/10/2020-8/10/2020	$45.00	3	3	6	6	$225.00	$5,225.00	N/A
Committee to Elect Eboni Rose Thompson for DC SBOE Ward 7	$10,000.00	9/14/2020	7/17/2020-8/10/2020	$2,801.20	193	140	63	63	$14,006.00	$24,006.00	8/10/2020
Ed Lazere for DC Council at-Large	$20,000.00	5/7/2020	3/17/2020-4/10/2020	$38,159.20	609	606	91	90	$190,796.00	$210,796.00	N/A
			4/10/2020-5/10/2020	$13,432.80	232	229	42	42	$67,164.00	N/A	N/A
	$20,000.00	8/28/2020	5/10/2020-6/10/2020	$10,135.80	238	177	29	29	$50,679.00	$70,679.00	6/10/2020
Franklin for DC 2020 for Council At-Large			1/3/2020-1/31/2020	$2,100.00	38	36	16	16	$10,500.00	N/A	N/A
			1/31/2020-3/10/2020	$3,061.00	53	52	12	12	$15,305.00	N/A	N/A
			3/10/2020-4/10/2020	$175.00	4	3	2	2	$875.00	N/A	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	No. of Small-Dollar Contributors During Reporting Period	No. of QSDCs During Reporting Period	No. of Non-District Resident Individual Contributions During Reporting Period	No. 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
			4/10/2020-5/10/2020	$1,759.00	56	56	18	18	$8,795.00	N/A	N/A
	$20,000.00	7/16/2020	5/10/2020-6/10/2020	$6,462.00	198	182	12	12	$32,310.00	$87,785.00	N/A
	$20,000.00	8/31/2020	6/10/2020-7/10/20201	$275.00	11	5	25	25	$1,375.00	$21,375.00	N/A
Fraizeer for Ward 4 for D.C. State Board of Education Ward 4*		7/31/2020	6/17/2020-7/10/2020	$1,340.00	68	67	N/A	N/A	$6,700.00	N/A	N/A
Evans 2020			1/30/2020-1/31/2020	$50.00	1	1	N/A	N/A	$250.00	N/A	N/A
	$20,000.00	4/3/2020	1/31/2020-3/10/2020	$9,930.00	207	204	15	14	$49,650.00	$69,650.00	N/A
	$20,000.00	5/4/2020	3/10/2020-4/10/2020	$375.00	9	8	1	1	$1,875.00	$21,875.00	N/A
James for Ward 2 State Board of Education	$10,000.00	9/11/2020	7/24/2020-8/10/2020	$1,095.00	68	68	32	32	$5,475.00	$15,475.00	N/A
Committee to Elect Janesse Lewis George	$20,000.00	9/30/2019	8/1/19-8/31/19	$12,290.00	307	323	73	72	$61,450.00	$81,450.00	N/A
			9/1/2019-10/10/2019	$3,745.00	92	92	8	8	$18,725.00		N/A
			10/11/2019-12/10/2019	$8,010.10	214	207	21	20	$40,050.50		N/A
			12/11/2019-1/31/2020	$9,091.06	247	241	26	26	$45,455.30		N/A
			2/1/2020-3/10/2020	$12,296.18	316	312	26	26	$61,480.90		
			3/10/2020-4/10/2020	$2,787.74	103	77	7	7	$13,938.70		4/10/2020
	$20,000.00	8/28/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Washington for Ward 8 DC for DC State Board of Education Ward 8	$10,000.00	8/31/2020	7/9/2020-8/10/2020	$1,060.00	55	55	44	44	$5,300.00	$15,300.00	N/A

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Committee to Elect Mysiki Valentine for DC State Board of Education At-Large	$10,000.00	8/24/2020	7/13/2020-8/10/2020	$4,380.00	221	158	22	22	$21,900.00	$31,900.00	10/11/2020
Committee to Elect Jeanne Lewis for City Council for Council At-Large			12/15/2019-1/31/2020	$3,650.00	59	57	45	45	$18,250.00	N/A	N/A
			2/1/2020-3/10/2020	$2,486.00	45	44	31	30	$12,430.00	N/A	N/A
			3/11/2020-3/30/2020	$1,985.00	50	47	8	8	$9,925.00	N/A	N/A
			3/31/2020-4/10/2020	$250.00	1	1	1	1	$250.00	N/A	N/A
			4/11/2020-05/10/2020	$685.00	27	18	10	10	$3,425.00	N/A	N/A
	$20,000.00	7/14/2020	5/11/2020-6/10/2020	$4,210.00	110	109	15	15	$21,050.00	$41,050.00	N/A
			6/11/2020-7/10/2020	$705.00	17	17	14	14	$3,525.00	N/A	N/A
	$20,000.00	8/28/2020	7/11/2020-8/10/2020	$395.00	9	9	5	5	$1,975.00	$21,975.00	N/A
Fanning for Ward 2 Special Election for Council Ward 2			1/15/2020-3/10/2020	$805.00	22	20	N/A	N/A	$4,025.00	N/A	N/A
	$20,000.00	4/22/2020	3/11/2020-3/30/2020	$6,049.20	164	162	9	9	$30,246.00	$50,246.00	N/A
			3/31/2020-04/10/2020	$25.00	1	1	N/A	N/A	$125.00	N/A	N/A
	$20,000.00	5/22/2020	4/11/2020-5/10/2020	$35.00	2	2	N/A	N/A	$175.00	$20,175.00	N/A
John Fanning for Ward 2	$20,000.00	9/18/2019	6/19/2019-7/31/2019	$6,540.00	193	167	15	15	$32,700.00	$52,700.00	N/A
			8/1/2019-10/10/2019	$840.00	33	23	7	7	$4,200.00	N/A	N/A
			10/11/2019-12/10/2019	$1,250.00	35	32	5	5	$6,250.00	N/A	N/A
			12/11/2019-1/31/2020	$890.00	25	22	2	2	$4,450.00	N/A	N/A
	$20,000.00	3/30/2020	2/1/2020-3/10/2020	$420.00	11	10	1	1	$2,100.00	$22,100.00	N/A
Jordan Grossman for Ward 2	$20,000.00	8/15/2019	5/13/19-7/31/2019	$17,836.02	427	423	209	204	$89,180.10	$109,180.10	N/A

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			08/01/19-10/10/2019	$6,207.51	154	154	66	66	$31,037.55	N/A	N/A
			10/11/19-12/10/2019	$3,335.80	92	93	93	18	$16,679.00	N/A	N/A
			12/11/2019-1/31/2020	$3,018.10	77	76	19	19	$15,090.50	N/A	N/A
	$20,000.00	3/27/2020	2/1/2020-3/10/2020	$1,452.18	42	41	8	8	$7,260.90	$27,260.90	N/A
Jordan Grossman for Ward 2 Special Election	$20,000.00	2/25/2020	1/13/2020-1/31/2020	$7,648.61	193	193	25	25	$38,243.05	$58,243.05	N/A
	$20,000.00	4/4/2020	2/1/2020-3/10/2020	$2,364.66	54	54	16	16	$11,823.30	$31,823.30	N/A
Karen for 7 SBOE 2020	$5,000.00	8/10/2020	6/30/2020-7/10/2020	$1,180.00	60	59	2	2	$5,900.00	$10,900.00	N/A
	$5,000.00	8/28/2020	7/11/2020-8/10/2020	$340.00	18	17	16	16	$1,700.00	$6,700.00	N/A
Kelvin Brown for DC Council Ward 7			8/13/2019-10/10/2020	$1,385.00	40	40	60	60	$6,925.00	N/A	N/A
			10/11/2020-10/31/2020	$200.00	6	6	11	11	$1,000.00	N/A	N/A
			11/1/2020/12/10/2020	$1,185.00	41	40	18	18	$5,925.00	N/A	N/A
			12/11/2020-1/31/2020	$1,779.00	72	69	62	60	$8,895.00	N/A	N/A
			2/1/2020-2/10/2020	$400.00	10	10	3	3	$2,000.00	N/A	N/A
	$20,000.00	4/2/2020	2/11/2020-3/10/2020	$215.00	6	6	4	4	$1,075.00	$21,075.00	N/A
	$20,000.00	4/14/2020	3/11/2020-4/10/2020	$195.00	7	7	4	4	$975.00	$20,975.00	N/A
Kishan for DC 2020	$20,000.00	8/15/2019	6/22/19-7/31/2019	$8,943.00	270	267	89	86	$44,715.00	$64,715.00	N/A
			8/1/19-10/10/2019	$4,406.00	132	131	68	67	$22,030.00	N/A	N/A
			10/11/19-12/10/2019	$2,711.00	82	87	23	23	$13,555.00	N/A	N/A
			12/11/2019-01/31/2020	$2,440.00	68	67	14	14	$12,200.00	N/A	N/A
	$20,000.00	3/27/2020	2/1/2020-3/10/2020	$1,813.00	55	53	9	9	$9,065.00	$29,065.00	N/A

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Kishan Putta for Ward 2 Special Election 2020			1/21/2020-1/31/2020	$3,820.00	91	89	6	6	$19,100.00	N/A	N/A
	$20,000.00	3/2/2020	2/1/2020-2/10/2020	$1,887.94	78	76	2	2	$9,439.70	$29,439.70	N/A
	$20,000.00	4/14/2020	2/11/2020-3/10/2020	$1,234.00	33	33	6	6	$6,170.00	$26,170.00	N/A
Markus for DC			9/13/2020-10/10/2020	$7,130.00	134	131	43	43	$35,650.00	N/A	N/A
	$20,000.00	2/25/2020	10/11/2020-1/31/2020	$6,549.00	166	159	51	49	$32,745.00	$52,745.00	N/A
			2/1/2020-3/10/2020	$1,555.00	44	40	12	12	$7,775.00	N/A	N/A
			3/11/2020-4/10/2020	$442.00	10	10	3	3	$2,210.00	N/A	N/A
			4/11/2020-5/10/2020	$628.00	19	17	9	9	$2,390.00	N/A	N/A
			5/10/2020-6/10/2020	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	$20,000.00	8/31/2020	6/11/2020-8/10/2020	$3,566.00	108	92	52	48	$17,830.00	$37,830.00	N/A
Martin for Ward 2	$40,000.00	9/1/2020	6/17/2020-8/10/2020	$5,924.00	188	182	98	95	$29,620.00	$69,620.00	N/A
Mike for Ward 8			1/17/2020-1/31/2020	$2,590.00	59	58	12	12	$12,950.00	N/A	N/A
	$40,000.00	4/10/2020	2/1/2020-3/10/2020	$3,015.00	102	102	16	15	$15,075.00	$55,075.00	N/A
Monica Palacio for City Council			2/18/2020-3/10/2020	$3,100.00	34	33	12	12	$15,500.00	N/A	N/A
			3/11/2020-4/10/2020	$1,400.00	18	16	4	4	$7,000.00	N/A	N/A
			4/11/2020-5/10/2020	$3,690.00	56	56	8	8	$18,450.00	N/A	N/A
	$20,000.00	7/15/2020	5/11/2020-6/10/2020	$6,051.00	162	157	24	24	$30,255.00	$50,255.00	N/A
			6/11/2020-7/10/2020	$850.00	18	17	5	5	$4,250.00	N/A	N/A
	$20,000.00	8/28/2020	7/11/2020-8/10/2020	$2,575.00	44	40	13	13	$12,875.00	$32,875.00	N/A
Patrick Kennedy for	$20,000.00	8/14/2019	4/8/2019-7/31/2019	$8,769.00	220	217	38	38	$43,845.00	$63,845.00	N/A

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Ward 2			8/1/2019-10/10/2020	$5,711.00	151	151	22	22	$28,555.00	N/A	N/A
			10/11/2018-12/10/2019	$2,160.00	60	59	12	12	$10,800.00	N/A	N/A
			12/11/2019-1/31/2020	$3,014.00	75	74	9	9	$15,070.00	N/A	N/A
	$20,000.00	3/27/2020	2/1/2020-3/10/2020	$2,050.00	50	49	7	7	$10,250.00	$30,250.00	N/A
Patrick Kennedy for Ward 2 Special June 16,2020			1/17/2020-1/31/2020	$200.00	4	4	N/A	N/A	N/A	N/A	N/A
	$20,000.00	3/23/2020	2/1/2020-3/10/2020	$7,486.00	170	168	6	6	$37,430.00	$57,430.00	N/A
	$20,000.00	4/14/2020	3/11/2020-4/10/2020	$625.00	16	14	1	1	$3,125.00	$23,125.00	N/A
Randy Downs for Ward 2			7/21/2020-08/10/2020	$13,005.00	316	315	79	79	$65,025.00	$105,025.00	N/A
	$40,000.00	9/18/2020	8/11/2020-8/31/2020	$3,330.00	93	87	28	27	$16,650.00	N/A	N/A
Committee to Elect Renee Bowser			11/06/2019-12/10/2020	$5,595.00	130	124	15	15	$27,975.00	N/A	N/A
			12/11/2020-1/10/2020	$1,800.00	43	43	5	5	$9,000.00	N/A	N/A
	$20,000.00	1/28/2020	1/11/2020-1/31/2020	$295.00	8	8	N/A	N/A	$1,475.00	N/A	N/A
Re-Elect Trayvon White 2020	$40,000.00	4/2/2020	1/31/2020-3/10/2020	$7,525.00	228	184	40	40	$37,625.00	$77,625.00	N/A
Vincent Orange 2020	$40,000.00	9/1/2020	6/22/2020-8/10/2020	$18,880.00	359	348	47	47	$94,400.00	$134,400.00	N/A
Will Merrifield for DC for Council At-Large	$20,000.00	3/30/2020	2/12/2020-3/10/2020	$12,610.00	314	309	55	53	$63,050.00	$83,050.00	N/A
			3/11/2020-4/10/2020	$920.00	25	25	6	6	$4,600.00	N/A	N/A
			4/11/2020-5/10/2020	$715.00	16	16	1	1	$3,575.00	N/A	N/A
			5/11/2020-6/10/2020	$230.00	6	5	1	1	$1,150.00	N/A	N/A
	$20,000.00	8/31/2020	6/11/2020-8/10/2020	$5,464.00	137	132	52	48	$27,320.00	$47,320.00	N/A

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Yilin Zhang for Ward 2			9/12/2019-10/10/2019	$1,690.00	50	49	27	27	$8,450.00	N/A	N/A
	$20,000	12/31/2019	10/11/2019-12/10/2019	$3,623.00	114	113	20	20	$18,115.00	$38,115	N/A
			12/11/2019-1/31/2020	$415.00	12	12	3	3	$2,075.00	N/A	N/A
	$20,000	3/31/2020	2/1/2020-3/10/2020	$130.00	3	3	1	1	$650.00	$20,650.00	N/A

FY20 Fair Elections Program Candidate Payment and Information

Committee Name	Candidate Name	Election	Office	Registration Date	Matching Payment	Base Payment	Fair Election Payouts Total
Chander for Council	Chander Jayaraman	General Election 2020	Council At-Large	10/18/2019	$ 146,140.00	$ 20,000.00	$ 166,140.00
Friends of Christina Henderson	Christina Diane Henderson	General Election 2020	Council At-Large	11/8/2019	$ 179,230.00	$ 40,000.00	$ 219,230.00
Ed Lazere for DC Council At-Large	Ed Lazere	General Election 2020	Council At-Large	3/17/2020	$ 328,639.00	$ 20,000.00	$ 348,639.00
Franklin for DC 2020	Franklin Garcia	General Election 2020	Council At-Large	1/3/2020	$ 67,785.00	$ 40,000.00	$ 107,785.00
Committee to Elect Jeanne' Lewis for City Council	Jeanne' L. Lewis	General Election 2020	Council At-Large	12/15/2019	$ 70,830.00	$ 40,000.00	$ 110,830.00
Markus for DC	Markus Edward Batchelor	General Election 2020	Council At-Large	9/13/2019	$ 78,560.00	$ 40,000.00	$ 118,560.00
Monica Palacio for City Council	Monica Palacio	General Election 2020	Council At-Large	2/18/2020	$ 89,955.00	$ 40,000.00	$ 129,955.00
Vincent Orange 2020	Vincent Bernard Orange	General Election 2020	Council At-Large	6/22/2020	$ 94,400.00	$ 40,000.00	$ 134,400.00
Will Merrifield for DC	William Russell Merrifield	General Election 2020	Council At-Large	2/12/2020	$ 72,375.00	$ 40,000.00	$ 112,375.00
Martin for Ward 2	Martin Miguel Fernandez	General Election 2020	Council Ward 2	6/17/2020	-$ 10,380.00	$ 80,000.00	$ 69,620.00
Randy Downs for Ward 2	Randy Dale Downs	General Election 2020	Council Ward 2	7/21/2020	$ 74,725.00	$ 40,000.00	$ 114,725.00
The Committee to Elect Mysiki Valentine	Mysiki X. Valentine	General Election 2020	D.C. State Board of Education At-Large	7/13/2020	$ 21,877.00	$ 10,000.00	$ 31,877.00
James for Ward 2 State Board of Education	James Allen Harnett	General Election 2020	D.C. State Board of Education Ward 2	7/24/2020	$ 5,775.00	$ 10,000.00	$ 15,775.00
Frazier for Ward 4	Frazier Lewis O'Leary	General Election 2020	D.C. State Board of Education Ward 4	6/17/2020	$ 10,850.00	$ 0.00	$ 10,850.00
Committee to Elect Dontrell Smith	Dontrell A. Smith	General Election 2020	D.C. State Board of Education Ward 7	7/9/2020	$ 13,750.00	$ 10,000.00	$ 23,750.00
Committee to Elect Eboni Rose Thompson for DC SBOE Ward 7	Eboni Rose Thompson	General Election 2020	D.C. State Board of Education Ward 7	7/17/2020	$ 14,006.00	$ 10,000.00	$ 24,006.00
Karen for 7 SBOE 2020	Karen L. Williams	General Election 2020	D.C. State Board of Education Ward 7	6/30/2020	$ 7,600.00	$ 10,000.00	$ 17,600.00
Let's Reid 2020	Dr. Carlene Daisy Reid	General Election 2020	D.C. State Board of Education Ward 8	11/14/2019	$ 9,150.00	$ 10,000.00	$ 19,150.00
Washington for Ward 8 DC	Ryan Washington	General Election 2020	D.C. State Board of Education Ward 8	7/9/2020	$ 5,300.00	$ 10,000.00	$ 15,300.00
Evans 2020	Jack Evans	Primary Election 2020	Council Ward 2	1/30/2020	$ 52,825.00	$ 40,000.00	$ 92,825.00
John Fanning for Ward 2	John J. Fanning	Primary Election 2020	Council Ward 2	6/3/2019	$ 19,375.00	$ 20,000.00	$ 39,375.00
Jordan Grossman for Ward 2	Jordan Mitchell Grossman	Primary Election 2020	Council Ward 2	5/15/2019	$ 84,761.45	$ 20,000.00	$ 104,761.45
Kishan For DC 2020	Kishan K. Putta	Primary Election 2020	Council Ward 2	6/26/2019	$ 71,975.00	$ 20,000.00	$ 91,975.00
Patrick Kennedy for Ward 2	Patrick L Kennedy	Primary Election 2020	Council Ward 2	4/8/2019	$ 72,975.00	$ 20,000.00	$ 92,975.00
Yilin Zhang for Ward 2	Yilin Zhang	Primary Election 2020	Council Ward 2	9/12/2019	$ 50,515.00	$ 20,000.00	$ 70,515.00
Committee to Elect Janeese Lewis George	Janeese Lewis George	Primary Election 2020	Council Ward 4	8/5/2019	$ 179,605.00	$ 20,000.00	$ 199,605.00
Committee to Elect Renee Bowser	Renee Bowser	Primary Election 2020	Council Ward 4	11/6/2019	$ 58,450.00	$ 0.00	$ 58,450.00
Green for Ward 7	Anthony L. Green	Primary Election 2020	Council Ward 7	7/16/2019	$ 60,200.00	$ 20,000.00	$ 80,200.00
Kelvin Brown for DC Council Ward 7	Kelvin Earl Brown	Primary Election 2020	Council Ward 7	8/13/2019	$ 32,245.00	$ 40,000.00	$ 72,245.00
Mike for Ward 8	Michael Austin	Primary Election 2020	Council Ward 8	1/17/2020	$ 23,425.00	$ 60,000.00	$ 83,425.00
Re-Elect Trayon White 2020	Trayon White	Primary Election 2020	Council Ward 8	1/31/2020	$ 46,320.80	$ 40,000.00	$ 86,320.80
			TOTALS		**$ 2,033,239.25**	**$ 830,000.00**	**$ 2,863,239.25**

FY20 Fair Elections Program Candidate Payment and Information

Committee Name	Candidate Name	Election	Office	Registration Date	Matching Payment	Base Payment	Fair Election Payouts Total
Chander for Council	Chander Jayaraman	General Election 2020	Council At-Large	10/18/2019	$ 146,140.00	$ 20,000.00	$ 166,140.00
Friends of Christina Henderson	Christina Diane Henderson	General Election 2020	Council At-Large	11/8/2019	$ 179,230.00	$ 40,000.00	$ 219,230.00
Ed Lazere for DC Council At-Large	Ed Lazere	General Election 2020	Council At-Large	3/17/2020	$ 328,639.00	$ 20,000.00	$ 348,639.00
Franklin for DC 2020	Franklin Garcia	General Election 2020	Council At-Large	1/3/2020	$ 67,785.00	$ 40,000.00	$ 107,785.00
Committee to Elect Jeanne' Lewis for City Council	Jeanne' L. Lewis	General Election 2020	Council At-Large	12/15/2019	$ 70,830.00	$ 40,000.00	$ 110,830.00
Markus for DC	Markus Edward Batchelor	General Election 2020	Council At-Large	9/13/2019	$ 78,560.00	$ 40,000.00	$ 118,560.00
Monica Palacio for City Council	Monica Palacio	General Election 2020	Council At-Large	2/18/2020	$ 89,955.00	$ 40,000.00	$ 129,955.00
Vincent Orange 2020	Vincent Bernard Orange	General Election 2020	Council At-Large	6/22/2020	$ 94,400.00	$ 40,000.00	$ 134,400.00
Will Merrifield for DC	William Russell Merrifield	General Election 2020	Council At-Large	2/12/2020	$ 72,375.00	$ 40,000.00	$ 112,375.00
Martin for Ward 2	Martin Miguel Fernandez	General Election 2020	Council Ward 2	6/17/2020	-$ 10,380.00	$ 80,000.00	$ 69,620.00
Randy Downs for Ward 2	Randy Dale Downs	General Election 2020	Council Ward 2	7/21/2020	$ 74,725.00	$ 40,000.00	$ 114,725.00
The Committee to Elect Mysiki Valentine	Mysiki X. Valentine	General Election 2020	D.C. State Board of Education At-Large	7/13/2020	$ 21,877.00	$ 10,000.00	$ 31,877.00
James for Ward 2 State Board of Education	James Allen Harnett	General Election 2020	D.C. State Board of Education Ward 2	7/24/2020	$ 5,775.00	$ 10,000.00	$ 15,775.00
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Committee to Elect Dontrell Smith	Dontrell A. Smith	General Election 2020	D.C. State Board of Education Ward 7	7/9/2020	$ 13,750.00	$ 10,000.00	$ 23,750.00
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Evans 2020	Jack Evans	Primary Election 2020	Council Ward 2	1/30/2020	$ 52,825.00	$ 40,000.00	$ 92,825.00
John Fanning for Ward 2	John J. Fanning	Primary Election 2020	Council Ward 2	6/3/2019	$ 19,375.00	$ 20,000.00	$ 39,375.00
Jordan Grossman for Ward 2	Jordan Mitchell Grossman	Primary Election 2020	Council Ward 2	5/15/2019	$ 84,761.45	$ 20,000.00	$ 104,761.45
Kishan For DC 2020	Kishan K. Putta	Primary Election 2020	Council Ward 2	6/26/2019	$ 71,975.00	$ 20,000.00	$ 91,975.00
Patrick Kennedy for Ward 2	Patrick L Kennedy	Primary Election 2020	Council Ward 2	4/8/2019	$ 72,975.00	$ 20,000.00	$ 92,975.00
Yilin Zhang for Ward 2	Yilin Zhang	Primary Election 2020	Council Ward 2	9/12/2019	$ 50,515.00	$ 20,000.00	$ 70,515.00
Committee to Elect Janeese Lewis George	Janeese Lewis George	Primary Election 2020	Council Ward 4	8/5/2019	$ 179,605.00	$ 20,000.00	$ 199,605.00
Committee to Elect Renee Bowser	Renee Bowser	Primary Election 2020	Council Ward 4	11/6/2019	$ 58,450.00	$ 0.00	$ 58,450.00
Green for Ward 7	Anthony L. Green	Primary Election 2020	Council Ward 7	7/16/2019	$ 60,200.00	$ 20,000.00	$ 80,200.00
Kelvin Brown for DC Council Ward 7	Kelvin Earl Brown	Primary Election 2020	Council Ward 7	8/13/2019	$ 32,245.00	$ 40,000.00	$ 72,245.00
Mike for Ward 8	Michael Austin	Primary Election 2020	Council Ward 8	1/17/2020	$ 23,425.00	$ 60,000.00	$ 83,425.00
Re-Elect Trayon White 2020	Trayon White	Primary Election 2020	Council Ward 8	1/31/2020	$ 46,320.80	$ 40,000.00	$ 86,320.80
			TOTALS		**$ 2,033,239.25**	**$ 830,000.00**	**$ 2,863,239.25**

OFFICE OF CAMPAIGN FINANCE

LIST OF OCF ATTACHMENTS

MARCH 12, 2021

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

COUNCIL OF THE DISTRICT OF COLUMBIA

List of OCF Attachments

March 2021

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

ATTACHMENT A – March 2021 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 – March 2021 Office of Campaign Finance Functional Organization Chart (Response to Question No. 1, General Questions)

ATTACHMENT C – March 2021 Schedule A for the Office of Campaign Finance (Response to Question No. 2, General Questions)

ATTACHMENT D – Chart of FY20 and FY21, to date, Memoranda of Understanding (Response to Question No. 5, General Questions)

ATTACHMENT E – Chart of FY20 and FY21, to date, Intra-district Transfers (Response to Question No. 7, General Questions)

ATTACHMENT F – List of OCF Purchase Card Spending for FY20 and FY21, to date (Response to Question No. 9, General Questions)

ATTACHMENT G – Chart of FY20 and FY21, to date, Reprogramming (Response to Question No. 12, General Questions)

ATTACHMENT H – List of OCF Contracts for FY20 and FY21, to date (Response to Question No. 15, General Questions)

ATTACHMENT I – FY20 Performance Plan and Report for the Office of Campaign Finance (Response to Question No. 24, General Questions)

ATTACHMENT J – FY21 Performance Plan for the Office of Campaign Finance (Response to Question No. 25, General Questions)

ATTACHMENTS

MARCH 12, 2020

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

COUNCIL OF THE DISTRICT OF COLUMBIA

ATTACHMENT A

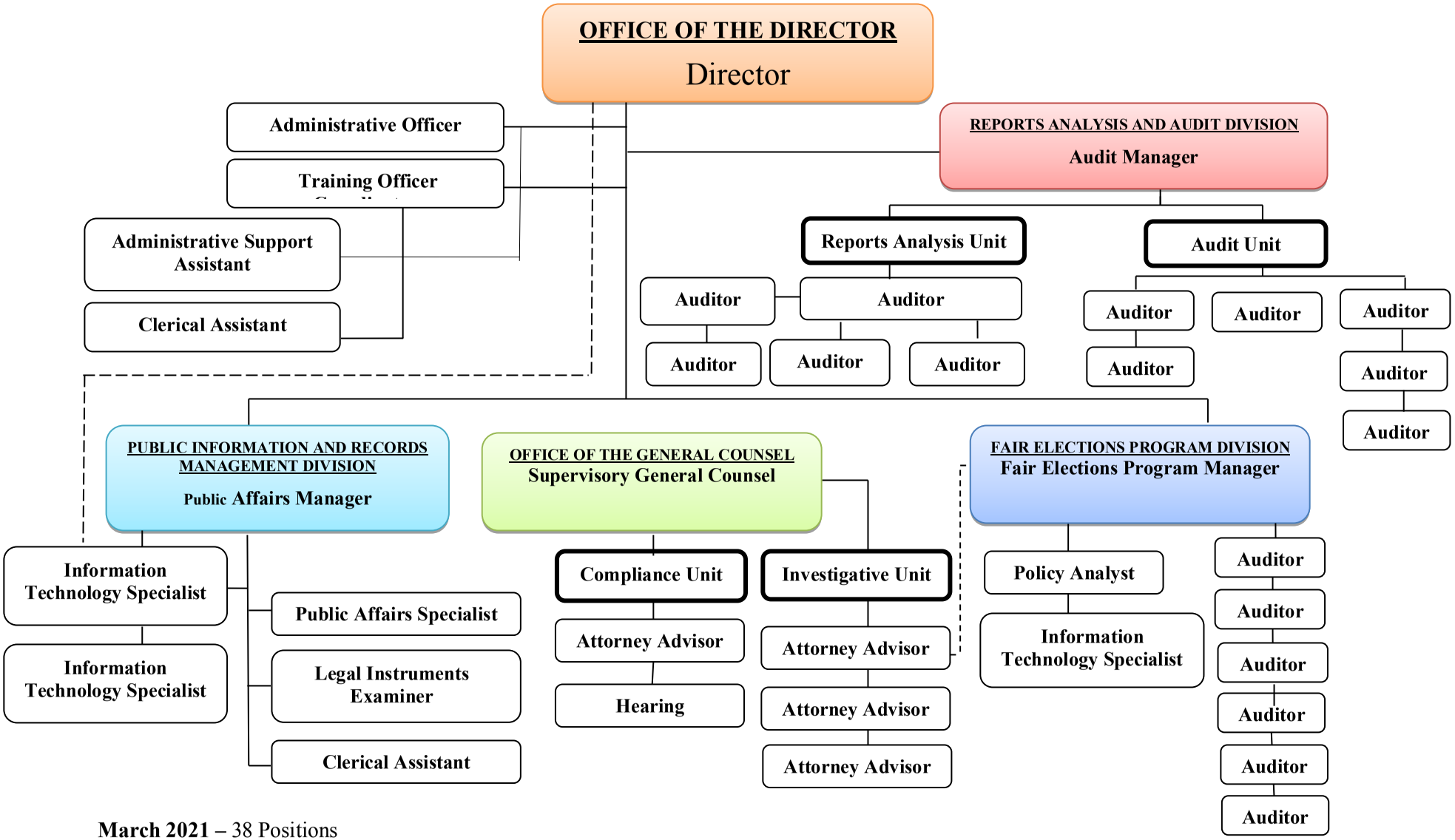
March 2021 Office of Campaign Finance

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

(Response to Question No. 1, General Questions)

DC Office of Campaign Finance

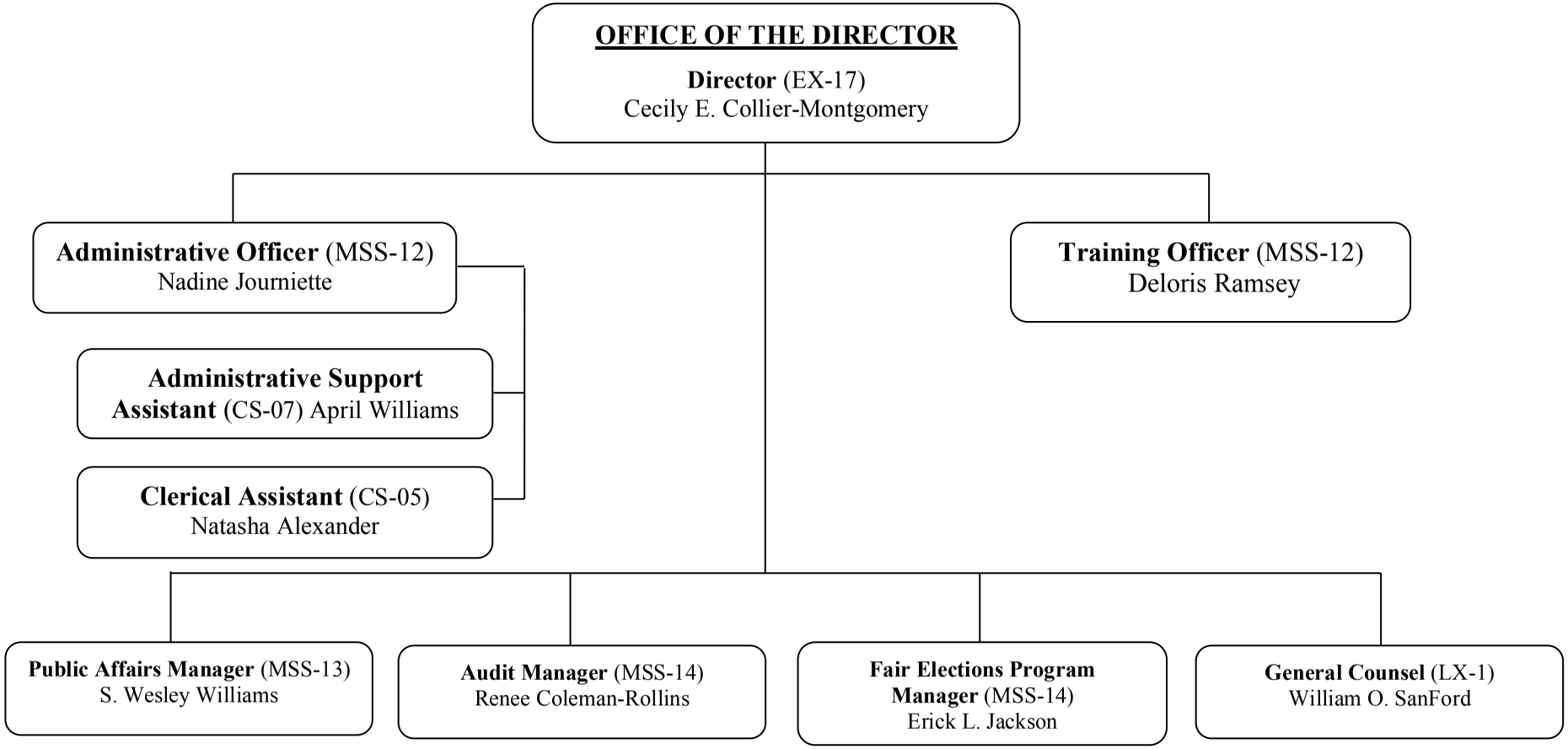
Organizational Structure and Staffing Chart



March 2021 – 38 Positions

DC Office of Campaign Finance

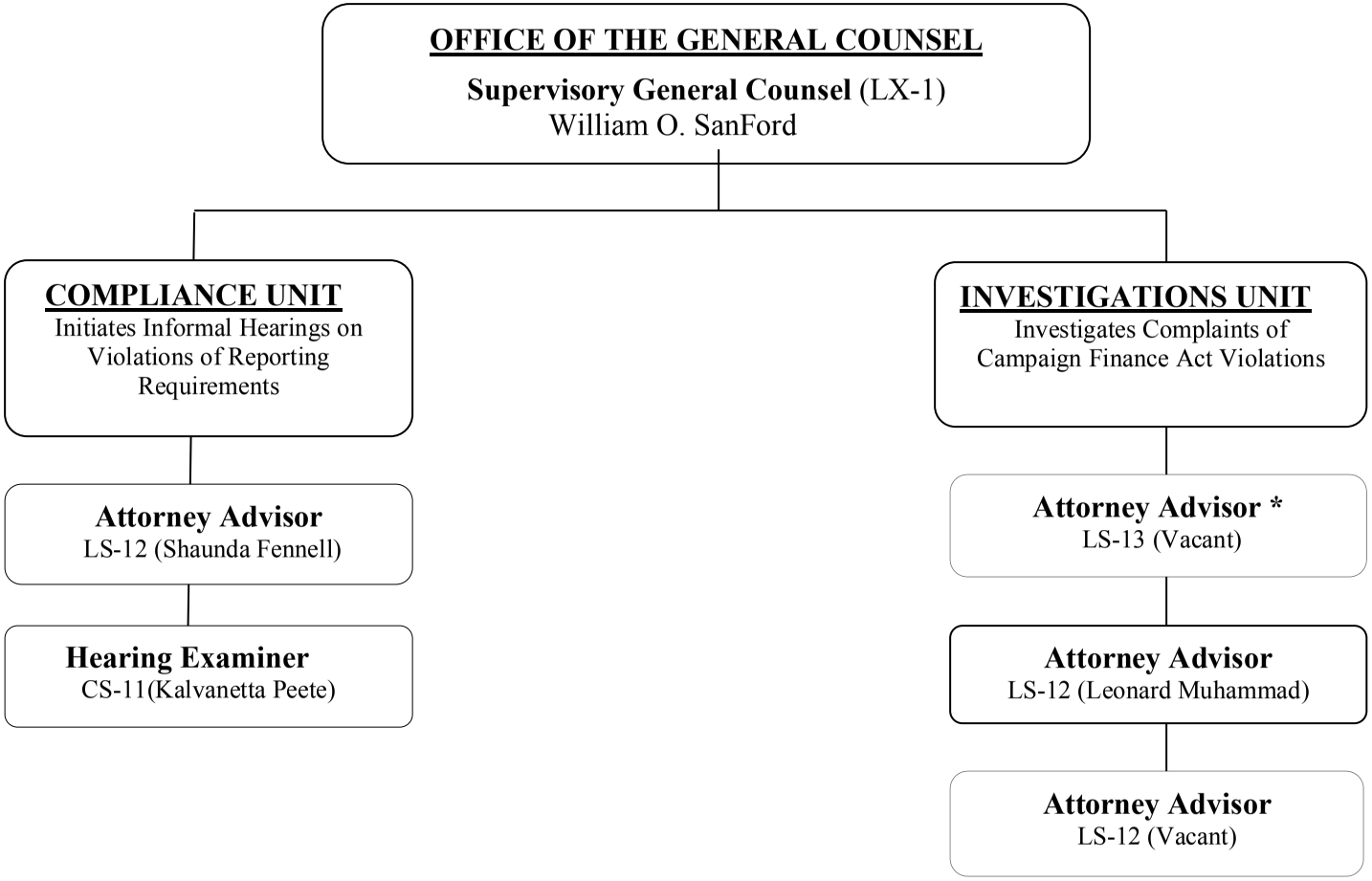
Office of the Director



March 2021 – 5 Positions

DC Office of Campaign Finance

Office of the General Counsel



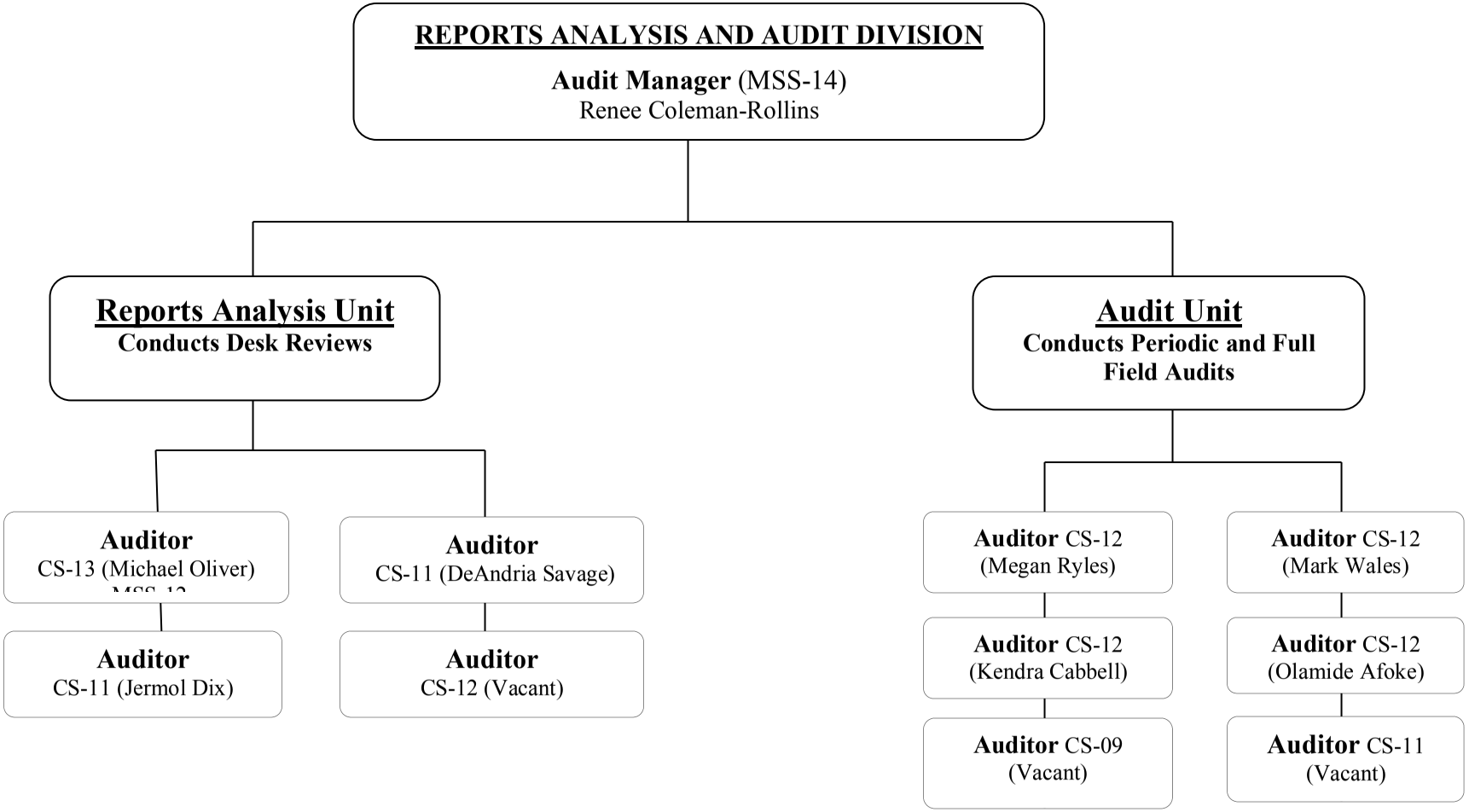
March 2021 – 6 Positions (2 Vacant Positions)

* Liaison for FEP candidate guidance and policy

** Hearing Examiner CS-11 Position reassigned to the FEP Division and reclassified as a CS-11 Auditor Position 1/21

DC Office of Campaign Finance

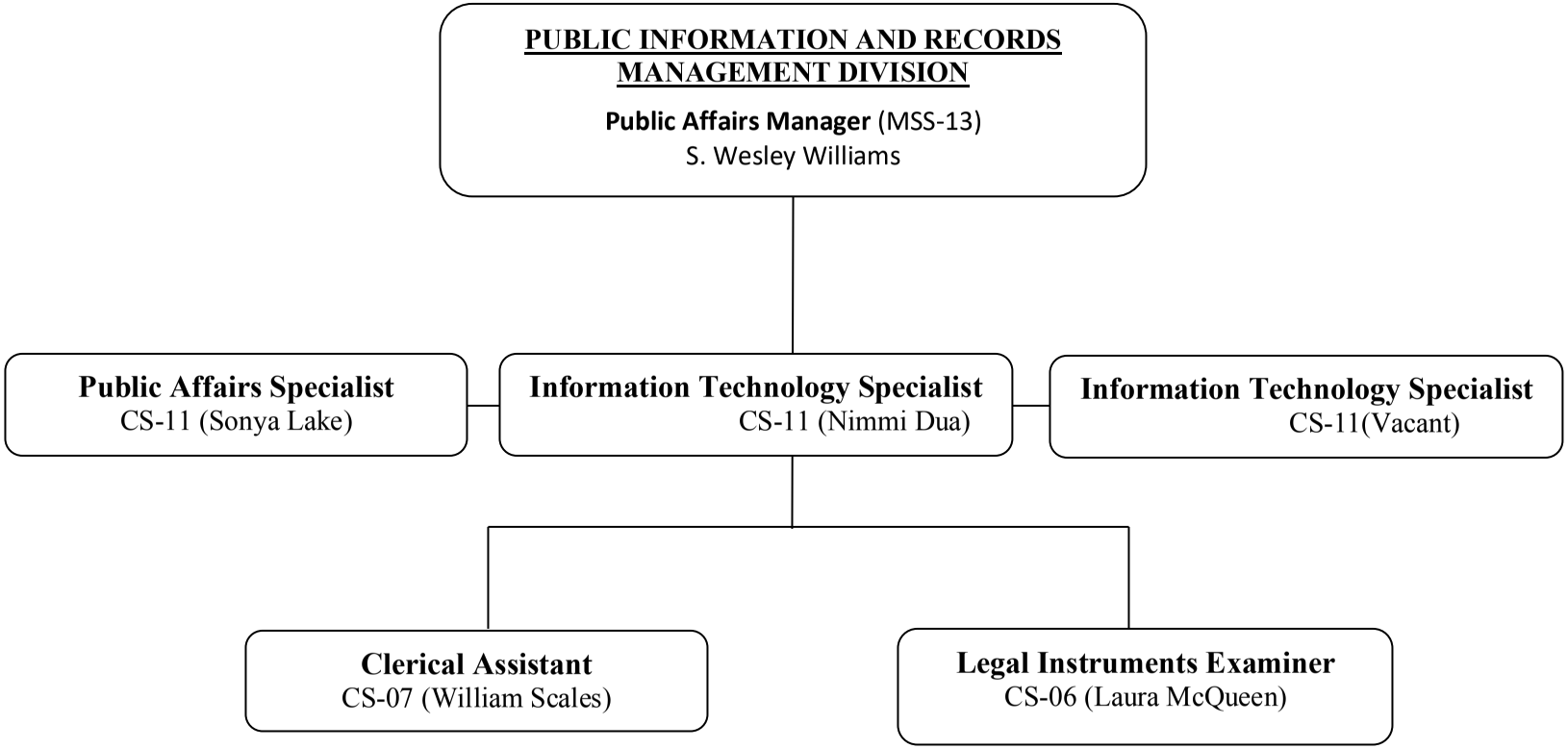
Reports Analysis and Audit Division



March 2021 – 11 Positions (3 Vacant Positions)

DC Office of Campaign Finance

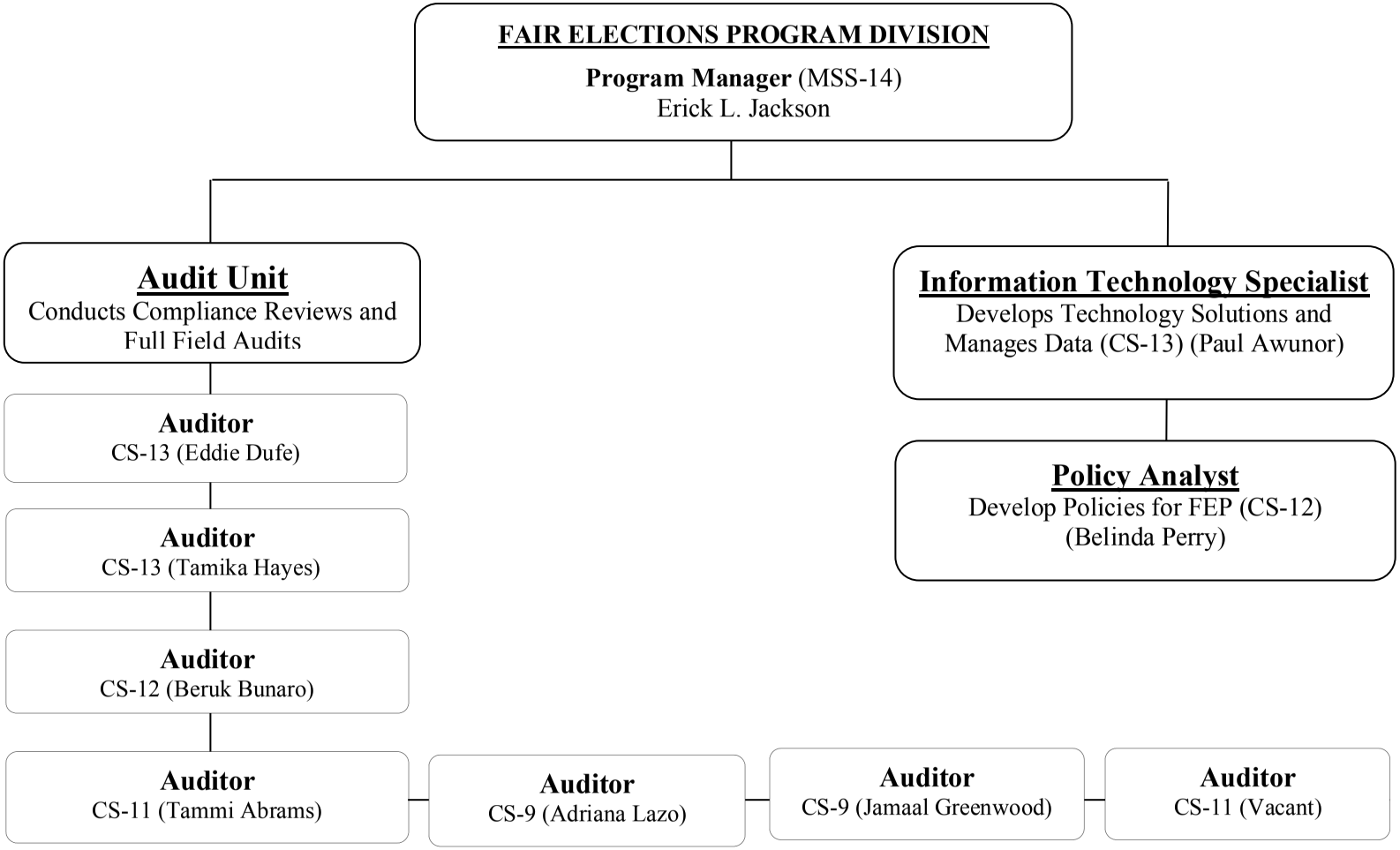
Public Information and Records Management Division



March 2021 – 6 Positions (1 Vacant Position)

DC Office of Campaign Finance

Fair Elections Program Division



March 2021 – 10 Positions (1 Vacant Position)

ATTACHMENT B

March 2021 Office of Campaign Finance

FUNCTIONAL ORGANIZATION CHART

(Response to Question No. 1, General Questions)

DC Office of Campaign Finance

Functional Organizational Chart

OFFICE OF THE DIRECTOR

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

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

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 FEP Post-Election Cycle Reports

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 the Fair Elections Program*
Biennial Report of Receipts and Expenditures/Post-Election FEP Reports
Educational Outreach
Referrals to OGC for Non-Compliance
*Filer Groups in the Traditional Program include: Political Committees**; Political Action Committees; Independent Expenditure Committees; Constituent Service and Statehood Fund Programs; and ANC Candidates

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; and ANC Candidates

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

March 2021

** Political Committees include principal campaign committees, inaugural, transition, exploratory and legal defense committees, and ballot committees in the Traditional Campaign Finance Program.

ATTACHMENT C

March 2021

SCHEDULE A FOR THE OFFICE OF CAMPAIGN FINANCE

(Response to Question No. 2, General Questions)

OCF RESPONSE TO QUESTION #2 (General Questions)

FY 21 CURRENT SCHEDULE A

(Updated 03/15/2021)

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
Agency Management Program									
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	39,223.00	9,158.57	03/05/18	Continuing	

(5 Positions)

FY 21 Question #2 Response (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 2000/ Activity 2030	**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, Kalvanetta	CS-11	06	905	71,406.00	16,153.19	**01/14/13**	Continuing	
Attorney Advisor	Vacant	LS-12		905				Vacant	New Position fully funded 10\1\2020 in the OCF approved Fiscal Year 21 Budget. Vacancy Announcement forwarded to DCHR 02\03\21 for (2) weeks/closed on 02\13\21. Proposed Interviews scheduled for 03/09/21.
Attorney Advisor **Program 2000/ Activity 2030**	Fennel-Cobbs, Shaunda	LS-12	03	905	92,126	18,885.83	**09/06/16**	Continuing	
Attorney Advisor **Program 2000/ Activity 2030**	Vacant	LS-13	03	905	109,556.00	25,526.55	01/22/19	Vacant	Position Vacant due to Resignation effective 09\25\20. This position is

									under review for reclassification

(6 Positions) (2 Vacant Positions)

	Reports Analysis and Audit Division 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	
Auditor **Program 2000/ Activity 2020**	Jermol Dix	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	0	511	51,059.00	11,199.99	05/06/13	Vacant	Position became vacant on 09/01/19 due to Promotion. Vacancy Announcement Opened on 10/19/19 and Closed on 10/27/19. Interviews held on 12/19/19. No Selection made due to applicants lack of Auditing experience. Request for DCHR to readvertise from 01/13/20 through 01/22/20. Proposed interviews 01/30/20. No Selection Made. Forwarded to DCHR to readvertise. Position posted from

									01\22\21 - 02\02/21. Interviews held 03\02\2021. Selection made.
Auditor **Program 2000/ Activity 2020**	Megan Ryles	CS-12	05	511	85,570.00	19,938.00	02/03/20	Continuing	
Auditor **Program 2000/ Activity 2020**	Vacant	CS-11	01	511	61,521.00	14,334.39	03/18/19	Vacant	Position Vacant due to Resignation effective 11\20\20. Vacancy Announcement forwarded to DCHR 01\22\21 for (2) weeks/closed on 02\03\21. Interview scheduled on 03/02/21. Selection made on 03/02/21.
Auditor **Program 2000/ Activity 2020**	Savage, DeAndria	CS-11	02	511	63,498.00	14,334.39	10/01/18	Continuing	
Auditor **Program 2000/ Activity 2020**	Vacant	CS-12	01	511				**Vacant**	New Position fully funded 10\1\2020 in the OCF approved Fiscal Year 21 Budget. Vacancy Announcement forwarded to DCHR 02\03\21 for (2) weeks/closed on 02\13\21. Interview held 03/02/21 and a Selection made on 03/02/21.

(11 Positions) (3 Vacant Positions)

	Public Information and Records Management Division 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	7	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	9	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	
Information Technology **Program 2000/ Activity 2010**	Vacant	CS-11	01	2210	61,521.00	12,611.85		Vacant	New Position fully funded 10\1\2020 in the OCF approved Fiscal Year 21 Budget. Vacancy Announcement forwarded to DCHR 02\03\21, closed on 02\13\21. Proposed Interview scheduled for 03/04/21. Selection was made on 3/4//21.

(6 Positions)

	Fair Elections Program Division 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** Auditor **Program 3000/ Activity 3010**	Greenwood, Jamaal	09	01	511	51,059	10,467.95	07\20\20	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	
Auditor **Program 3000/ Activity 3010**	Vacant	CS 11	01	511				Vacant	Position reassigned from OGC, and reclassified as an Auditor, CS – 11. Vacancy Announcement forwarded to DCHR 02\03\21/closed on 02\13\21. Proposed Interview scheduled for 03/04/21. Selection was made on 03/04/21.

(9 Positions)

ATTACHMENT D

CHART OF FY20 AND FY21, TO DATE, MEMORANDA OF UNDERSTANDING

(Response to Question No. 5, General Questions)

Chart of FY20 and FY21, to date, of all Memoranda of Understanding

CJ0-Office of Campaign Finance

Buyer Agency	Seller Agency	Service Description	Service Period	FY 2020	FY 2021
CJ0	BE0	HR Services	10/01/2019-09/30/2020	$15,000.00	$15,000.00
CJ0	KT0	Fleet Management	10/01/2019-09/30/2020	$6,009.70	$6,419.51
CJ0	OCP	P-Card	10/01/2019-09/30/2020	$21,697.05	$10,000.00
CJ0	OCTO	IT Assessment	10/01/2019-09/30/2020	$2,129.38	
TOTAL				**$44,836.13**	**$31,419.51**

ATTACHMENT E

March 2021 Office of Campaign Finance

CHART OF FY20 AND FY21, 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

CJ0-Office of Campaign Finance

Buyer Agency	Seller Agency	Service Description	Service Period	FY 2020	FY 2021
CJ0	BE0	HR Services	10/01/2019-09/30/2020	$15,000.00	$15,000.00
CJ0	KT0	Fleet Management	10/01/2019-09/30/2020	$6,009.70	$6,419.51
CJ0	OCP	P-Card	10/01/2019-09/30/2020	$21,697.05	$10,000.00
CJ0	OCTO	IT Assessment	10/01/2019-09/30/2020	$2,129.38	$0.00
TOTAL				**$44,836.13**	**$31,419.51**

ATTACHMENT F

LIST OF OCF PURCHASE CARD SPENDING FOR

FY20 AND FY21, TO DATE

(Response to Question 9, General Questions)

List of OCF Purchase Card Expenditures for FY 20, and FY21, to Date

FY 20 P-Card Transactions

Vendor	Amount	General Purpose	Date	P-Card User
Comcast	$81.72	Cable Services	10/31/2019	April Williams
Comcast	$81.72	Cable Services	11/29/2019	April Williams
Comcast	$81.72	Cable Services	01/07/2020	April Williams
Whitaker Brothers	$63.00	Time Stamp Ink	01/23/2020	April Williams
Metropolitan Office Products	$664.15	Office Supplies	01/23/2020	April Williams
Global Print Master	$298.00	Printing Services	01/29/2020	April Williams
Toucan	$311.25	Printing Services	02/06/2020	April Williams
Comcast	$94.12	Cable Service	02/07/2020	April Williams
Comcast	$94.12	Cable Service	03/02/2020	April Williams
Metropolitan Office Products	$1,945.92	Office Supplies	06/03/2020	April Williams
Comcast	$229.46	Cable Service	06/06/2020	April Williams
Comcast	$187.03	Cable Service	07/30/2020	April Williams
Metropolitan Office Products	$518.96	Office Supplies	08/21/2020	April Williams
Comcast	$181.67	Cable Service	09/09/2020	April Williams
Metropolitan Office Products	$9,250.00	Office Supplies	09/16/2020	April Williams
TransPerfect	$2,976.00	Translation Services	09/30/2020	April Williams

List of OCF Purchase Card Expenditures for FY 20, and FY21, to Date

FY 21 P-Card Transactions

Vendor	Amount	General Purpose	Date	P-Card User
Metro Stamp & Seal	$75.00	Notary Supplies	10/13/2020	April Williams
COGEL	$445.00	Membership Renewal	10/23/2020	April Williams
Comcast	$181.65	Cable Service	12/15/2020	April Williams
Comcast	$204.97	Cable Service	01/22/2021	April Williams

ATTACHMENT G

CHART of FY20 and FY21, TO DATE, REPROGRAMMING

(Response to Question No. 12, General Questions)

Chart of FY20 and FY21, To date, Reprogramming

Fund	Program	Activity	CSG	FY 2020 Approved Budget	FY 2020 Revised Budget	Variance	Explanation
0100	3000 FAIR ELECTIONS FUND	3010 FAIR ELECTIONS FUND	0011 REGULAR PAY - CONT FULL TIME	550,096.00	368,073.50	(182,023)	
			0014 FRINGE BENEFITS	128,172.37	98,172.37	(30,000)	
			0041 CONTRACTUAL SERVICES - OTHER	-	212,022.50	212,023	To Cover The Cost Of Moderating The First Debates, Including The Procurement Of Public Relations Services And Advertisements
0100 Total				**678,268**	**678,268**	**-**	

ATTACHMENT H

LIST OF OCF CONTRACTS FOR FY20 and FY21, TO DATE

(Response to Question No. 15, General Questions)

FY 20 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
Bayne, LLC PO628421	FY20 OCF Bayne,LLC – Public Relations Services for the Design of the 2020 Debate Program	$172,486.00	$172,486.00	$172,486.00	10/1/2019-09/30/20	Yes	0410	Sidney Wesley Williams
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	FY20 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
VLI Incorporated PO618243	FY20 OCF 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
OCF Wolters Kluwer Financial PO617283	FY20 OCF 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
Pitney Bowes PO621214	FY0 Pitney Bowes	$6,000.00	$6,000.00	$6,000.00	10/1/2019-09/30/20	Yes	0410	Nadine Journiette
Corporate System Resources Corporate Systems PO628381	FY20 Corporate System Resources Corporate Systems	$28,319.72	$28,319.72	$28,319.72	10/1/2019-09/30/20	Yes	0410	Nadine Journiette

FY 21 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. PO635101	FY21 OCF Second Phase Development of the E-Filing System and Website Content for the Fair Elections Program. Option One Year until 09/30/21	$57,194.88	$57,194.88	$57,194.88	10/1/2020-09/30/2021	Yes	0410	Sidney Wesley Williams
Wolters Klumer Financial PO636638	FY20 OCF 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	10/1/2020-09/30/2021	Yes	0410	Nadine Journiette
VLI Incorporated PO639547	FY21 OCF Audio and Visual Maintenance/ Technical Support	$8,600.00	$8,600.00	$8,600.00	10/1/2020-09/30/2021	Yes	0410	Sidney Wesley Williams
Pitney Bowes PO637323	FY21 OCF Pitney Bowes for Maintenance\Technical Support	$3,000.00	$3,000.00	$3,000.00	10/1/2020-09/30/2021	Yes	0410	Nadine Journiette
Star Office Product, Inc PO637620	FY2 OCF Star Office Product, Inc Maintenance\ Technical Agreement for (3) Copier Machines	$1,533.60	$1,533.60	$1,533.60	10/1/2020-09/30/2021	Yes	0410	Nadine Journiette

ATTACHMENT I

FY20 PERFORMANCE PLAN AND REPORT FOR THE

OFFICE OF CAMPAIGN FINANCE

(Response to Question No. 24, General Questions)

Office of Campaign Finance FY2020

Agency Office of Campaign Finance **Agency Acronym** OCF **Agency Code** CJ0

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** 2020

Agency's Operating Budget

Lookup Your Agency's Operating Budget

FY2020 Agency Top 3 Accomplishments

Add Accomplishment Add Accomplishment

Accomplishments

Accomplishment	Impact on Agency	Impact on Residents
The Office of Campaign Finance hosted the Inaugural 2020 DC Debates under the Fair Elections Act for the November 3, 2020 General Election city wide contests for At-Large Member of the State Board of Education, and At-Large Member of the Council. The Debates were presented in a virtual format, and live streamed at 2020dcdebates.com. All certified Fair Elections Program Candidates were required to participate, and all Traditional Campaign Finance Program Candidates were invited to participate. A total of 18 Candidates participated, and the Debates were moderated by members of the print media.	The Office of Campaign Finance, notwithstanding the COVID 19 Pandemic, successfully advertised, scheduled, and hosted in a virtual format, the first Debates under the Fair Elections Act for city-wide contests to provide District Residents with the opportunity to hear directly from the Candidates for public office in the upcoming election.	The Debates provided the residents of the District of Columbia with the opportunity to hear directly from the candidates on issues that were important to them in order to make better informed election choices.
The Office of Campaign Finance completed Phase II of the Fair Elections Program E-Filing and Disclosure System for public and administrative use in September 2020. Phase II enables the public to sort, search, and retrieve contribution and expenditure data; and to view registration disclosures and financial reports, quick statistics, and payout information. Users are able to upload financial documents directly into the OCF Database. The Administrative Modules provide applications which will store data pertinent to the audit process, payouts, filings, registrations, and the post-election cycle reports.	The development of Phase II aids the Agency in its ongoing efforts to ensure the transparency and disclosure of the financial transactions reported by participating candidates in the Fair Elections Program that qualify for matching payments by public funds, and to provide current data as to the payout amounts authorized.	The development of Phase II will ensure that the residents of the District of Columbia will have access to timely and accurate reports of the financial activity of candidates certified into the Fair Elections Program.
The Office of Campaign Finance certified 36 Participating Candidates in the first Election Cycle of the Fair Elections Program, the June 2020 Primary Election (11 Candidates) and the November 2020 General Election (21 Candidates), and also included a Special Election (4 Candidates). The Agency authorized the disbursement of $368,615.10 in FY 19, and $3,208,540.90 in FY 20 in Base Amount and Matching Payments from the Elections Fund for the campaign operations of these Candidates.	The certification of candidates into the Fair Elections Program by the Agency supports the Agency's objective to provide full, accurate, and complete public disclosure of the qualifying financial transactions of those candidates found eligible for public funds who are competing in the electoral process.	The certification of candidates seeking participation in the Fair Elections Program provides the financial ability and impetus for those individuals who may not have otherwise considered elective office to compete in the electoral process, while also amplifying the voice of the qualified small dollar District resident individual contributor whose contribution is matched, and providing accurate and full disclosure of the candidate's financial reports to the public.

2020 Objectives

Objective Number	Strategic Objective	# of Measures	# 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.	3	1
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	1
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	1
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	1
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	1
6	Create and maintain a highly efficient, transparent, and responsive District government.	1	0
TOT		**11**	**5**

2020 Key Performance Indicators

Measure	New Measure/ Benchmark Year	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY2019 Actual	FY 2020 Target	FY 2020 Quarter 1	FY 2020 Quarter 2	FY 2020 Quarter 3	FY 2020 Quarter 4	FY 2020 Report	Was 2020 KPI Met?	Are Explanatio of Barriers 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 Campaig Finance Act. (3 Measures)														
Percent of informal hearings conducted and closed before the next filing deadline		Up is Better	140.7%	100%	100%	1225%	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
Percent of Interpretative Opinions issued within thirty (30) days		Up is Better	66.7%	100%	100%	100%	100%	100%	100%	No applicable incidents	100%	100%	Met	

Measure	New Measure/ Benchmark Year	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY2019 Actual	FY 2020 Target	FY 2020 Quarter 1	FY 2020 Quarter 2	FY 2020 Quarter 3	FY 2020 Quarter 4	FY 2020 Report	Was 2020 KPI Met?	Are Explanatio of Barriers Meeting KPIs Complete
Percent of expedited advice for time-sensitive election related matters issued within fifteen (15) days of request		Up is Better	92.9%	100%	100%	100%	100%	100%	100%	100%	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 th Campaign Finance Act. (1 Measure)														
Percent of new candidates and treasurers who receive mandatory training		Up is Better	100%	100%	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. (2 Measures)														
Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline		Up is Better	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	Met	
Percent of periodic random audits conducted within sixty (60) days of initiation		Up is Better	100%	100%	100%	100%	100%	100%	100%	100%	100%	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		Up is Better	96.4%	100%	100%	100%	100%	100%	100%	100%	100%	100%	Met	
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.		Up is Better	New in 2019	New in 2019	100%	100%	100%	100%	100%	100%	100%	100%	Met	
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		Up is Better	New in 2019	New in 2019	100%	100%	100%	100%	100%	100%	100%	100%	Met	
Percent of matching payments directed for disbursement to participating candidates within five (5) days after the receipt of financial reports	✔	Up is Better	New in 2020	New in 2020	New in 2020	New in 2020	New in 2020	100%	100%	100%	100%	100%	New in 2020	
6 - Create and maintain a highly efficient, transparent, and responsive District government. (1 Measure)														

Measure	New Measure/ Benchmark Year	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY2019 Actual	FY 2020 Target	FY 2020 Quarter 1	FY 2020 Quarter 2	FY 2020 Quarter 3	FY 2020 Quarter 4	FY 2020 Report	Was 2020 KPI Met?	Are Explanatio of Barriers Meeting KPIs Complete
Percent of investigative matters closed within ninety (90) days of opening		Up is Better	Waiting on Data	No Applicable Incidents	100%	100%	100%	100%	100%	No applicable incidents	100%	100%	Met	

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 candiates 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)			
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	FY 2020 Quarter 2	FY 2020 Quarter 3	FY 2020 Quarter 4	FY 2020 Report
1 - Enforcement Program (3 Measures)										
Total number of informal hearings conducted		47	83	83	165	14	36	11	41	102
Total number of investigations completed within 90 days		Needs Update	Waiting on Data	No Applicable Incidents	3	1	1	No applicable incidents	3	5
Total number of Interpretative Opinons and Expedited Advice issued		19	12	8	1	3	1	No applicable incidents	16	20
2 - Educational Outreach Services (1 Measure)										
Total number of mandatory training conferences conducted		34	29	197	45	24	58	22	41	145
3 - Audit Programs (2 Measures)										
Total number of financial reports reviewed, evaluated, and analyzyed for the reporting period		727	1092	818	1274	165	244	162	196	767
Total number of periodic random and full field audits completed by the Audit Division		24	17	13	19	6	1	4	4	15
4 - Public Information collection and dissemination online and onsite (2 Measures)										
Total number of financial reports filed		610	966	508	1047	154	268	205	173	800
Total number of financial reports filed electronically		610	964	632	1015	154	268	205	173	800
5 - Fair Elections Program (2 Measures)										

Measure	New Measure/ Benchmark Year	FY2016 Actual	FY2017 Actual	FY2018 Actual	FY2019 Actual	FY 2020 Quarter 1	FY 2020 Quarter 2	FY 2020 Quarter 3	FY 2020 Quarter 4	FY 2020 Report
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	Annual Measure	Annual Measure	Annual Measure	36
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	Annual Measure	Annual Measure	Annual Measure	0

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?	Cluster	Add Initiative Update for PAR
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 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.	09-30-2020			Independent	
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			Independent	
	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			Independent	
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			Independent	
	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			Independent	
	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			Independent	
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			Independent	
	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			Independent	
	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			Independent	
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?	Cluster	Add Initiative Update for PAR
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			Independent	

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	Supporting Data	FY20 Reporting Quarter
Candidate Outreach (4 Initiative Updates)						
Candidate Outreach	The 2020 OCF Training Calendar was published at the OCF Website on January 30, 2020, and includes Seminars specific to the use of the FEP E-Filing System. Onsite training will be offered by the Agency to the public throughout the remainder of the 2020 Calendar Year, and commences in February 2020.	0-24%	High	Demonstrable		Q1
Candidate Outreach	During Q2, the Office of Campaign Finance continued to offer technical assistance on the use of the new FEP E-Filing System to users through the mandatory training program, and following each reporting deadline. Moreover, the contract for the development of the second phase of the System was awarded on March 13, 2020, and will offer administrative, and public reports and search features for the user and the public. Once the Second Phase is completed, the Agency will offer training to introduce the new capabilities of the System.	25-49%	High	Demonstrable		Q2
Candidate Outreach	During Q3, the Office of Campaign Finance has continued to offer technical assistance on the use of the new FEP E-Filing System to users through the mandatory training program, and following each reporting deadline. The OCF will also offer training on the use of the developed Second Phase of the FEP System once completed to introduce the new capabilities of the System. 108 Reports were timely filed online during Q3.	50-74%	High	Demonstrable		Q3
Candidate Outreach	During Q4, the Office of Campaign Finance continued on each deadline for the filing of financial reports, to offer technical assistance to users on the use of the FEP E-Filing System to report campaign activity. Sixty-four (64) FEP principal campaign committees successfully and timely filed their Reports of Receipts and Expenditures during Quarter 4. Overall, during FY 20, approximately303 financial reports were filed in the FEP, and desk reviewed, with 77 Requests for Additional Information issued. Each contribution reported was verified for compliance with the reporting requirements. The FEP initiated 14 post-election audits following the June 2020 Primary and Special Elections, which are ongoing of all participating ballot candidates who were unsuccessful.	Complete		Demonstrable		Q4
Community Outreach (4 Initiative Updates)						
Community Outreach	The Agency has participated in 7 community outreach events, including ANC meetings, and a DC Federation of Civic Associations meeting. The ANC Outreach Program is ongoing, and the OCF will commence its outreach effort with the Board of Elections during events scheduled in February 2020.	25-49%	High	Demonstrable		Q1
Community Outreach	During Q2, the Office of Campaign Finance appeared during February 2020 on the agendas of the meetings of five (5) ANCs to introduce the new Fair Elections Program. The Agency also used its social media platforms to notify the public of its appearances in the community.	25-49%	High	Demonstrable		Q2
Community Outreach	During Q3, the Office of Campaign Finance forwarded emails to 29 Advisory Neighborhood Commissions, previously not visited, and requested that the OCF be placed on the Agendas of the Commissions to attend their Virtual meetings and present information concerning the Fair Elections Program, commencing in July 2020. The Agency also advised the DC Federation of Civic Associations of its availability, but the Commission will not meet until September 2020.	50-74%	High	Demonstrable		Q3
Community Outreach	During Q4, the Office of Campaign Finance participated in virtual meetings with ANC 4D (one (1)), and the OCF Fair Elections Planning Committee (one (1)), and continued to use its social media platforms to keep the public informed of the Inaugural Debates scheduled in September 2020 for the city-wide contests in the November 3, 2020 General Election, as well as to communicate other information of interest to the District Residents relative to the activity in the Campaign Finance Office, including community appearances, filing deadlines, and the availability of financial reports for review online.	Complete		Demonstrable		Q4
Desk Reviews and Audits of Financial Reports (4 Initiative Updates)						
Desk Reviews and Audits of Financial Reports	The Periodic Audits of the October 1, 2019 Reports of the Constituent Services Program have been completed, and four reports of principal campaign committees in the Traditional Campaign Finance Program and of the continuing committees have been selected for audit from the 1/31/20 Filing. The December 10, 2019 was not available due to the lack of candidate registrations in the Traditional program at the time.	25-49%	High	Demonstrable		Q1
Desk Reviews and Audits of Financial Reports	During Q2, the Office of Campaign Finance conducted desk reviews of 268 financial reports filed with the Agency by political committees, political action committees, and constituent services and Statehood Fund Programs to ensure compliance with the reporting requirements. The Agency also issued one full field audit of the campaign operations of a newly elected member of the State Board of Education.	25-49%	High	Demonstrable		Q2
Desk Reviews and Audits of Financial Reports	During Q3, the Office of Campaign Finance conducted 162 Desk Reviews of financial reports filed with the Agency; issued 35 Requests for Additional Information based on the Desk Reviews; and initiated three (3) periodic audits of the April 1, 2020 Financial Report of the Constituent Service Programs. The Agency issued four (4) Final Audit Reports, and has six (6) ongoing audits of the January 31st, 2020 R & E Reports filed by candidates active in the 2020 Election Cycle, and of Political Action Committees.	50-74%	High	Demonstrable		Q3
Desk Reviews and Audits of Financial Reports	During Q4, the Office of Campaign Finance conducted 196 Desk Reviews of financial reports filed with the Agency; issued 33 Requests for Additional Information; and issued three (3) Final Audit Reports of the April 1, 2020 Activity Reports of the Constituent Services Program, and one (1) Final Investigative Audit of a Legal Defense Fund. All Audits resulted in compliance Audits.	Complete		Demonstrable		Q4

Strategic Initiative Title	Initiative Status Update	% Complete to date	Confidence in completion by end of fiscal year (9/30)?	Status of Impact	Supporting Data	FY20 Reporting Quarter
FEP Expanded Educational Outreach (4 Initiative Updates)						
FEP Expanded Educational Outreach	The Agency has confirmed that the Public Service Announcements developed in FY19 for the Fair Elections Program will continue in circulation through the November 3, 2020 General Election. The Agency will employ new PSAs and Household Mailers to notify the public of any debates in contested city wide elections which may be scheduled for the June 2, 2020 Primary Election and the June 16, 2020 Special Election.	0-24%	High	Transformative		Q1
FEP Expanded Educational Outreach	During Q2, the Office of Campaign Finance has requested confirmation that the OCF Public Service Announcements and posting of OCF Brochures on media Bulletin Boards will run through the November 3, 2020 General Election. For the June 16, 2020 Special Election scheduled for the Office of Ward 2 Council Member, the OCF designed and posted at its Website on January 24, 2020, a FEP Fact Sheet for this Election. The OCF is currently reviewing the PSAs and the posted Bulletin Brochures for revisions and content updates, where necessary.	25-49%	High	Demonstrable		Q2
FEP Expanded Educational Outreach	During Q3, the Office of Campaign Finance coordinated the placement of the 30 Second and 60 Second Public Service Announcements into rotation on the air at the end of May 2020 at the DCTV Channels through November 2, 2020. The OCF confirmed that the one minute FEP Public Service Announcement is still in rotation on DCTV 's Channels. The OCF has certified 24 candidates into the FEP, 10 appeared on the June 2, 2020 Primary Election Ballot, and 4 appeared on the June 16, 2020 Special Election.	50-74%	High	Demonstrable		Q3
FEP Expanded Educational Outreach	During Q4, the Office of Campaign Finance placed advertisements for the Inaugural 2020 Debates held under the Fair Elections Act in the contested city-wide races on September 29, 2020 for the At-Large Member of the State Board of Education Seat, and on September 29th and 30th, 2020 for the At-Large Member of the DC Council Seats, on bus exteriors on various routes throughout the DC area, and on 15 area radio stations. Digital ads were placed on the internet, and press releases and information on the debates were published on the OCF Website at 2020dccdebates.com. There were 14 Partners affiliated with the 2020 DC Debates. The videos of the Debates were made available at the OCF 2020 Debates Website, www.2020dccdebates.com for viewing, through the November 3, 2020 General Election.	Complete		Demonstrable		Q4
Mandatory and Continuing Educational Programs (4 Initiative Updates)						
Mandatory and Continuing Educational Programs	The training materials have been updated to include the most recent amendments to the Campaign Finance Act and the Fair Elections Amendment Act, as amended. The revised Campaign Finance Guide will be posted at the OCF Website on February 14, 2020. As of this date, the Agency has conducted mandatory training for 61 newly registered candidates and treasurers. The OCF 2020 Training Calendar for onsite seminars was published at the OCF Website on January 30, 2020, and training kicks off on February 6, 2020.	25-49%	High	Demonstrable		Q1
Mandatory and Continuing Educational Programs	During Q2, the Office of Campaign Finance conducted four (4) mandatory training conference for 58 newly registered candidates and treasurers to advise of their duties and responsibilities under the Campaign Finance Laws. The Agency also updated the online Campaign Finance Guide on February 20, 2022 to include content on the Fair Elections Program, and other recent amendments to the Campaign Finance Act; and developed a new brochure for candidates and committees active in the June 2020 Special Election for Ward 2 Council Member.	25-49%	High	Demonstrable		Q2
Mandatory and Continuing Educational Programs	During Q3, pursuant to recent amendments of the Campaign Finance Laws, the Office of Campaign Finance revised the online Campaign Finance Operations Training Tutorial for use during the COVID 19 Pandemic to satisfy the mandatory training conference requirement for newly registered candidates and treasurers. The Agency conducted online training for 22 new candidates and treasurers to advise of their duties and responsibilities under the Campaign Finance Act.	50-74%	High	Demonstrable		Q3
Mandatory and Continuing Educational Programs	During Q4, the Office of Campaign Finance conducted online training for 44 new candidates and treasurers to advise of their responsibilities and duties under the Campaign Finance Act, as amended. The Agency revised the ANC Training Guide at the OCF Website, and directed a link to the Tutorial by email to approximately 400 of the 423 Candidates for the Office of Advisory Neighborhood Commission Member who registered with the Board of Elections and provided an email address, for their review.	Complete		Demonstrable		Q4
Petitions For Enforcement (2 Initiative Updates)						
Petitions For Enforcement	The Office of the General Counsel has revised the OGC Standard Operating Procedures to improve the internal monitoring process for the initiation of petitions for enforcement before the Board of Elections where fines remain unpaid by incorporating an electronic reminder system.	Complete	High	Demonstrable		Q1
Petitions For Enforcement	Completed during Q1.	Complete		Demonstrable		Q4
Publication of Information at the OCF Website (4 Initiative Updates)						
Publication of Information at the OCF Website	The OCF E-Filing System has been upgraded to implement the amendments to the reporting requirements, including the changes in contribution limits, the download and search of contributions and expenditures, sortable by street address, city, state, or the zip code of the contributor/payee. the development of public reports is ongoing.	50-74%	High	Demonstrable		Q1
Publication of Information at the OCF Website	During Q2, the contract was awarded on March 13, 2020 for the development of the Second Phase of the E-Filing System of the Fair Elections Program, which will provide public reports and search features relative to the distribution of public funds to participating candidates in the Program., and the financial operations of their campaigns.	25-49%	High	Transformative		Q2
Publication of Information at the OCF Website	During Q3, the Office of Campaign Finance released a FEP Search Feature at the OCF Website providing public access to the public funds payments authorized by OCF in the Fair Elections Program by candidate, and to the overall FEP disbursement totals, the registration and certification information for each FEP candidate, and the history of financial reports filed, with a link to report images, and public funds payouts.	50-74%	High	Demonstrable		Q3
Publication of Information at the OCF Website	During Q4, the Office of Campaign Finance completed Phase II of the E-Filing System for the Fair Elections Program. Phase II enables the public to sort, search, and retrieve contribution and expenditure data; and view registration disclosures, financial reports, quick statistics, and payout information.Users can upload expenditure documents into the OCF Database. The Administrative modules provide for the overall administration of the Program through applications which will store data pertinent to the audit process, payouts, filings, registrations, and the post-election reports.	Complete		Transformative		Q4
Review of OCF Regulations and Forms (2 Initiative Updates)						

Strategic Initiative Title	Initiative Status Update	% Complete to date	Confidence in completion by end of fiscal year (9/30)?	Status of Impact	Supporting Data	FY20 Reporting Quarter
Review of OCF Regulations and Forms	The Office of the General Counsel drafted regulations which were adopted by the Board of Elections in the Notice of Final Rulemaking published in the D.C. Register on November 22, 2019 (Vol. 66/48), to fully implement the provisions of the Campaign Reform Amendment Act of 2018, applicable September 11, 2019. The Campaign Finance Guide has been fully revised to incorporate the amendments, and will be published at the OCF Website on 2/14/20. All training materials and forms were also revised to include the changes, effective October 1, 2019.	Complete	High	Demonstrable		Q1
Review of OCF Regulations and Forms	Completed Q1	Complete		Demonstrable		Q4
Site Visits to Early Voting Centers and Election Precincts (4 Initiative Updates)						
Site Visits to Early Voting Centers and Election Precincts	This initiative will not occur until the June 2, 2020 Primary Election. The site visits will be scheduled during the Election, and also during the early voting which will be scheduled during the two (2) week period immediately preceding the June 2, 2020 Election.	0-24%	High	Demonstrable		Q1
Site Visits to Early Voting Centers and Election Precincts	Due to the COVID 19 Pandemic, and the current Stay at Home Orders in effect in the District of Columbia, the Office of Campaign Finance will not conduct site visits during the June 2, 2020 Primary Election. The Board of Elections will not operate the 143 Election Precincts, but will open a reduced number of voting centers in the eight (8) Wards.	0-24%	Low	None		Q2
Site Visits to Early Voting Centers and Election Precincts	During Q3, the Office of Campaign Finance was not able to conduct site visits during the June 2, 2020 Primary Election, due to the COVID 19 Pandemic, and the current Stay At Home Orders in effect in the District of Columbia. The Board of Elections did not operate the 143 Election Precincts during the Primary Election, and opened a reduced number of voting centers in the eight (8) Wards. The Board encouraged the registered voters of the District of Columbia to vote by absentee ballot.	Complete	Low	None		Q3
Site Visits to Early Voting Centers and Election Precincts	During Q4, although the Agency continued to operate under a modified status due to the COVID 19 Pandemic, the Agency through its Public Information and Records management Division, remained available to field numerous inquiries from members of the public, the media, and registered entities concerning the reporting requirements, campaign literature disclaimers, and other campaign related issues that are typically raised during onsite visits to Early Voting Centers and Election Precincts.	Complete		Demonstrable		Q4
The FEP Debate Program (4 Initiative Updates)						
The FEP Debate Program	The Fair Elections Division has developed the requirements for the Debate Program, and drafted the application to be used by those seeking to act as facilitators. The Division will seek the input of the Planning Committee organized to assist the Agency with the implementation of the Fair Elections Program, as well as other Civic Organizations to finalize the Debate Program.	75-99%	High	Transformative		Q1
The FEP Debate Program	During Q2, the Office of Campaign Finance identified and visited potential sites for the debate site. The Agency also reached out to several organizations as well as individual members of the media to determine their interest, if any, in acting as a moderator for the debate, depending upon the format used, including, a town hall meeting, the panel approach, or a single moderator. The OCF met with the Fair Elections Planning Committee to elicit their views on the debate process. The Agency will not be required to hold a debate for the June 2020 Primary Election as the at large race for Member of the Council is not contested.	25-49%	High	Demonstrable		Q2
The FEP Debate Program	During Q3, the Office of Campaign Finance initiated a requisition for the procurement of public relation services for the development and design of a virtual education and public outreach plan for dissemination of notice about the debate program, and to promote a citywide contested virtual debate event	50-74%	High	Demonstrable		Q3
The FEP Debate Program	During Q4, the Office of Campaign Finance hosted the Inaugural 2020 DC Debates under the Fair Elections Program in a virtual format for the November 3, 2020 General Election contests for At-Large Member of the State Board of Education, on September 29th, 2020 (6 Candidates participated), and the At-Large Member of the Council of the District of Columbia, on September 29th, and 30th 2020 (18 Candidates participated). The 2020 Debates were live streamed at 2020dcdebates.com. All Candidates certified in the Fair Elections Program were required to participate in the Debates, and all Candidates who achieved ballot access in the Traditional Campaign Finance Program were invited to participate.	Complete		Transformative		Q4

Internal: Unfinished 2019 Initiatives

Strategic Initiatives

Title	Description	Complete to Date	Status Update	Explanation	Anticipated Completion Date	Add Initiative Update
No strategic initiatives found						

Updates for Unfinished FY19 Initiatives

Strategic Initiative Title	Anticipated completion date	New Initiative Created for FY20	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

Created on Oct. 30, 2018 at 11:14 AM (EDT). Last updated by Katz, Lia (EOM) on Jan. 28, 2019 at 11:48 AM (EST). Owned by Katz, Lia (EOM).

ATTACHMENT J

FY21 PERFORMANCE PLAN AND REPORT FOR THE

OFFICE OF CAMPAIGN FINANCE

(Response to Question No. 25, General Questions)

Office of Campaign Finance FY2021

Agency	Office of Campaign Finance	Agency Acronym	OCF	Agency Code	CJ0

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	2021

Agency's Operating Budget

Lookup Your Agency's Operating Budget

2021 Objectives

Strategic Objectives

Objective Number	Strategic Objective	# of Measures	# 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.	3	1
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	1
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	1
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	1
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	1
6	Create and maintain a highly efficient, transparent, and responsive District government.	1	0
TOT		**11**	**5**

2021 Key Performance Indicators

Measure	New Measure/ Benchmark Year	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY2019 Actual	FY 2020 Target	FY2020 Actual	FY2021 Target	FY 2021 Quarter 1
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 Interpretative Opinions issued within thirty (30) days		Up is Better	66.7%	100%	100%	100%	100%	100%	100%	Needs Update
Percent of expedited advice for time-sensitive election related matters issued within fifteen (15) days of request		Up is Better	92.9%	100%	100%	100%	100%	100%	100%	100%
Percent of informal hearings conducted and closed before the next filing deadline		Up is Better	140.7%	100%	100%	1225%	100%	100%	100%	Annual Measure
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		Up is Better	100%	100%	100%	100%	100%	100%	100%	100%
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 Measures)										
Percent of financial reports reviewed, evaluated, and analyzed before the next filing deadline		Up is Better	100%	100%	100%	100%	100%	100%	100%	100%
Percent of periodic random audits conducted within sixty (60) days of initiation		Up is Better	100%	100%	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		Up is Better	96.4%	100%	100%	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)										

Measure	New Measure/ Benchmark Year	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY2019 Actual	FY 2020 Target	FY2020 Actual	FY2021 Target	FY 2021 Quarter 1
Percent of Base Amount and Matching Payments authorized for disbursement within five (5) business days of the certification of a candidate into the Fair Elections Program	✔	Up Is Better	New in 2019	New in 2021	New in 2021	New in 2021	New in 2021	New in 2021	New in 2021	Annual Measure
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.		Up is Better	New in 2019	New in 2019	100%	100%	100%	100%	100%	100%
Percent of matching payments directed for disbursement to participating candidates within five (5) business days after the receipt of financial reports	✔	Up is Better	New in 2020	New in 2021	New in 2020	New in 2021	New in 2021	New in 2021	New in 2021	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		Up is Better	Waiting on Data	No Applicable Incidents	100%	100%	100%	100%	100%	Annual Measure

2021 Operations

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 candiates 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)			
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

2021 Workload Measures

Workload Measures - Operations

Measure	New Measure/ Benchmark Year	FY2016 Actual	FY2017 Actual	FY2018 Actual	FY2019 Actual	FY2020 Actual	FY 2021 Quarter 1
1 - Enforcement Program (3 Measures)							
Total number of informal hearings conducted		47	83	83	165	102	44
Total number of investigations completed within 90 days		Needs Update	Waiting on Data	No Applicable Incidents	3	5	1
Total number of Interpretative Opinons and Expedited Advice issued		19	12	8	1	20	15
2 - Educational Outreach Services (1 Measure)							
Total number of mandatory training conferences conducted		34	29	197	45	145	5
3 - Audit Programs (2 Measures)							
Total number of financial reports reviewed, evaluated, and analyzyed for the reporting period		727	1092	818	1274	767	258
Total number of periodic random and full field audits completed by the Audit Division		24	17	13	19	15	9
4 - Public Information collection and dissemination online and onsite (2 Measures)							
Total number of financial reports filed		610	966	508	1047	800	313
Total number of financial reports filed electronically		610	964	632	1015	800	313
5 - Fair Elections Program (2 Measures)							
Total number of candidates certified as participating candidates in the Fair Elections Program		Needs Update	New in 2020	New in 2020	New in 2020	36	Annual Measure
Total number of pre-election and post election audits completed by the Fair Elections Division		Needs Update	New in 2020	New in 2020	New in 2020	0	Annual Measure

2021 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?	Cluster	Add Initiative Update
Educational Outreach Services (1 Strategic Initiative)						
Candidate And Community Outreach	The Office Of Campaign Finance will develop formats for mandatory and public training conferences, informal hearings, and community outreach in virtual online environments to expand the audience of the agency, broaden the community outreach efforts of the agency, and to continue the business of the agency.	09-30-2021			Independent	
Enforcement Program (1 Strategic Initiative)						
Promulgate new OCF regulations	The Office Of The General Counsel will promulgate new regulations, draft forms, and revise the OCF guide and training materials to fully implement the provisions of the Campaign Finance Reform Amendment Act of 2018, effective March 13, 2019, as amended, when applicable, which will prohibit the receipt and making of political contributions by business entities and their principals seeking or receiving contracts valued at $250,000 or more from the District Government during certain timeframes.	09-30-2021			Independent	
Fair Elections Program (3 Strategic initiatives)						
Publication of 2020 Special Election Report	The Office Of Campaign Finance will produce, publish at the OCF website, and submit to the Mayor and the D.C. Council during February 2021, the report due nine (9) months after the end of the June 16, 2020 special election cycle. The report will list the names of all candidates certified in the Fair Elections Program to participate in this election, and will describe for each candidate, the qualified small dollar contributions received, personal funds contributed , amount of remitted funds, expenditures made, and public fund payments authorized.	03-01-2021			Independent	

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?	Cluster	Add Initiative Update
Publication of 2020 General Election Report	The Office Of Campaign Finance will produce, publish at the OCF website, and submit to the Mayor and the Council during July 2021, the report due nine (9) months after the end of the November 3, 2020 general election cycle. The report will list the names of all candidates certified to participate in the Fair Elections Program during this election, and describe for each candidate, the qualified small dollar contributions received, personal funds contributed, amount of remitted funds, expenditures made, and public fund payments authorized.	08-01-2021			Independent	
Fair Elections Program Audits	The Office Of Campaign Finance will conduct full field audits of the campaign operations of the principal campaign committees of all participating candidates certified in the Fair Elections Program following the certification of the November 3, 2020 general election results by the Board of Elections. The audits will require the submission of all financial documents maintained in support of the financial transactions reported during the entire coverage period of the campaign. This will allow the verification of the receipt, expenditure, and remission of public funds in accordance with the provisions of the fair elections act, through the substantiation of report entries against the supporting documentation, to ensure the accuracy of the transactions.	09-30-2021			Independent	
Public Information collection and dissemination online and onsite (1 Strategic Initiative)						
Development Of E-Filing System	The Office Of Campaign Finance will develop the OCF E-Filing and Disclosure system to provide an application to fully implement the provisions of the Campaign Finance Reform Act of 2019, when applicable, which will require the agency to identify prohibited contributions through a cross reference of the lists of covered contractors and their principals made publicly available by District contracting authorities, of contracts above a certain amount, and to notify the contractors and prohibited recipients about potential violations.	09-30-2021			Independent	

2021 Initiative Updates

Strategic Initiative Title	Initiative Status Update	% Complete to date	Confidence in completion by end of fiscal year (9/30)?	Status of Impact	Supporting Data	Reporting Quarter
Candidate And Community Outreach (1 Initiative Update)						
Candidate And Community Outreach	The Office of Campaign Finance is revising the training and the hearing formats for presentation in a virtual environment. The 2021 OCF Calendar of Educational Seminars available online will be published at the Website during February 2021.	0-24%	High	Transformative		Q1
Development Of E-Filing System (1 Initiative Update)						
Development Of E-Filing System	The Office of Campaign Finance is in the process of identifying the requirements of the Covered Contractor provisions with respect to the responsibilities of the Agency to identify prohibited contributions in order to proceed with the procurement process for the upgrade of the OCF E-Filing and Disclosure System.	0-24%	High	Demonstrable		Q1
Fair Elections Program Audits (1 Initiative Update)						
Fair Elections Program Audits	The Office of Campaign Finance will issue in February 2021 the initiation of audit letters to the committees of those candidates certified to participate in the Fair Elections Program, and deemed eligible to receive public funds.The Board of Elections certified the results of the November 3, 2020 General Election on December 2, 2020.	0-24%	High	Demonstrable		Q1
Promulgate new OCF regulations (1 Initiative Update)						
Promulgate new OCF regulations	The Office of the General Counsel is in the process of drafting regulations to fully implement the new covered contractor provisions, when applicable, and reviewing the OCF forms and training materials for content revisions, consistent with the most recent amendments to the Campaign Finance Act.	0-24%	High	Demonstrable		Q1
Publication of 2020 General Election Report (1 Initiative Update)						
Publication of 2020 General Election Report	The Office of campaign Finance is in the process of identifying the data which will be included in the Post-Election Report on the 2020 Election Cycle, and published online at the OCF Website.	0-24%	High	Demonstrable		Q1

Strategic Initiative Title	Initiative Status Update	% Complete to date	Confidence in completion by end of fiscal year (9/30)?	Status of Impact	Supporting Data	Reporting Quarter
Publication of 2020 Special Election Report (1 Initiative Update)						
Publication of 2020 Special Election Report	The Office of Campaign Finance is in the process of identifying the data which will be included in the Report on the 2020 Special Election for online publication of the Report	25-49%	High	Demonstrable		Q1

Internal: Unfinished 2020 Initiatives

Title	Description	Complete to Date	Status Update	Explanation	Anticipated Completion Date	Add Initiative Update
No strategic initiatives found						

Updates for Unfinished 2020 Initiatives

Strategic Initiative Title	Anticipated completion date	New Initiative Created for FY20	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	Reporting Quarter
No initiative updates found										

Administrative Information

Record ID# 784

Performance Plan ID 784 **Blank Initiative Updates** Blank Initiative Updates

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