



New Haven Democracy Fund

"To ensure that all the citizens of New Haven have a fair and meaningful opportunity to participate in the election of mayor."
New Haven Code of General Ordinances, Chapter 2, Article XI, §2-321 • Established in 2007 • democracyfund@newhavenct.net



NEW HAVEN DEMOCRACY FUND BOARD MEETING AGENDA

Thursday, December 13, 2012 * 6:00 pm

Mayor's Conference Room #2

City Hall, 2nd Floor

165 Church Street

New Haven, CT 06510

1. Call to Order.
2. Approval of Minutes from November 19, 2012 meeting (attached).
3. Public Comments.
4. Democracy Fund Board personnel updates:
 - a. Update on potential nominee John DeManno
5. Administrator reports:
 - a. Work Plan/Protocol development for Administrator
 - b. Update on Administrator activities
 - i. Outreach to Shawn Wooden, Hartford Court of Common Council President
 - ii. Outreach to Phil Sherwood, New Britain Office of Mayor
6. Budget Request Update
 - a. Report on potential budget hearing
 - b. Documents/forms from Joe Clerkin (see attached)
7. Approval of Forms for 2013 election cycle (see attached)
8. Vote on position of Democracy Fund Board re: Exploratory Committees (see attached documents)
10. January meeting schedule.
11. Training for New Board Members and distribution of training materials
12. Other business
13. Adjournment.



New Haven Democracy Fund

"To ensure that all the citizens of New Haven have a fair and meaningful opportunity to participate in the election of mayor."
New Haven Code of General Ordinances, Chapter 2, Article XI, §2-821 • Established in 2007 • democracyfund@newhavenct.net



NEW HAVEN DEMOCRACY FUND BOARD

REGULAR Meeting Minutes

Monday November 19th, 2012

6:00pm

Mayor's Conference Room #2

City Hall, Second Floor

165 Church Street

New Haven, CT 06510

In attendance: Board members; Anna Mariotti, Chair; Tiana Ocasio; Patricia Kane, Tyrone McClain & Kenneth Krayeske, Administrator

1. Call to order at 5:58pm
2. The Minutes from the August 29, 2012 meeting were approved unanimously.
3. There were no public comments.
4. We welcomed two new board members, Patricia Kane & Tyrone McClain.
Caleb Kleppner resigned last week.
We also have a potential nominee, John DeMinno, more information will follow at the next meeting.
5. The Administrator Contract was finally received and an invoice was submitted by Caleb on Nov 1st 2012. The Administrator updated the email address to democracyfund@newhavenct.net
& also updated the website. Ken attended Training with the New York City Campaign finance board. He met with Prof. Michael Malbin from SUNY, he is an expert in Campaign financing and he suggested that we have more candidate information on our website. Especially, posting all the information from the past so that we have clear transparency.
The Administrator also had a meeting with Caleb Kleppner.
Ken has been working with the aldermen to recruit more board members.
Anna & Ken met with Justin Elicker. They also reached out to the other potential mayoral candidates, Gary Holder-Winfield & Sundiata Keitazulu to explain the Democracy Fund.
Ken also spoke to Edwin Bender who may be able to help find some supporters to donate funds towards a new website.

6. Tiana motioned to appoint Pat Kane as our new Treasurer & it passed unanimously.
7. The Cost of Living adjustment was presented to the board.
8. Doug Hausladen is still trying to present us to the financing committee.
9. We discussed the 2013 Mayoral Election & potential candidates using the Fund.
A question was raised as to whether or not candidates need to notify us, if they raise money and have exploratory committees. Seeing as at that point in time no forms would be filled with the Fund and they are not Full candidates. Ken will contact SEEC. Also, the municipal schedule has not been produced.
10. The next meeting & Training will be on December 13th, 2012.
11. The former Administrator Robert Wechsler was finally paid for his services.
12. No other business
13. Adjournment was at 7:07 p.m.



CITY OF NEW HAVEN OFFICE OF MANAGEMENT & BUDGET

165 Church Street, New Haven, CT 06510
Phone (203) 946-7921, Fax (203) 946-7924

John DeStefano, Jr.
Mayor

Joe Clerkin
Budget Director

November 15, 2012

To: Department Heads

From: Joe Clerkin, Budget Director JC

Re: FY 2013-14 General Fund, Special Fund and Capital Project Budget Preparation

The attached package contains the FY 2013-14 General Fund, Special Fund (if applicable) and Capital Project budget (if applicable) preparation forms and reports. Forms can be found under the City Wide drive (n) under the file directory MGB, sub-directory FY 13-14.

Particular note should be paid to the guidelines sections because Management & Budget is attempting to better use e-mail technology to streamline the budget request process.

Due to continuing economic weakness, it is likely that City will receive reduced State aid in FY 13-14 and it is probable that we will see reductions in some locally generated revenue. This loss of revenue will not be re-couped through Grand List growth so the City faces the real prospect of reduced revenue in FY 13-14. As a consequence, the budget process will require that every expenditure in your budget be supported by a thorough explanation as to its purpose (regardless of fund) and will be analyzed as it relates to the delivery of critical services. Any expenses that are not required for the delivery of necessary public services will be eliminated.

In addition, it should be noted that the Capital Budget will be funded at the lowest level possible to meet maintenance & public safety requirements.

Accordingly, the budget preparation process for FY 2013-14 will be based on the following parameters;

- 1) A detailed justification for each program and associated expenses must be included on the 106 forms. The Board of Aldermen will continue to be keenly interested in these descriptions. The more precise detail provided the better.
- 2) All expenditure efficiencies and/or reductions must be fully explored.
- 3) All potential revenue sources should be thoroughly examined and described.
- 4) Coordinators should be involved throughout this stage of budget preparation.

The process of consultation with Department Heads and Coordinators should commence as soon as possible. Budget submissions are due no later than January 7 (Monday) to Management & Budget. M & B staff is available for technical support for any department. Your input and cooperation during these challenging times is appreciated.

Cc: Mayor John DeStefano Jr.
Sean Matteson, Chief of Staff
Althea Marshall Brooks, CSA Coordinator
Dr. Reginald Mayo, Superintendent of Schools
Kelly Murphy, Economic Development Administrator
Victor Bolden, Corporation Counsel
Michael O'Neill, Chief Fiscal Officer
Sharon Ferrucci, Rae Tramontano, Registrar of Voters
Ron Smith, City/Town Clerk
Albert Lucas, Director, Legislative Services
Will Clark, Chief Operating Officer, BOE

**BUDGET CALENDAR
FISCAL YEAR 2013-14**

November 26, 2012

Budget guidelines for developing the FY 2013-14 General Fund, Special Fund and Capital Project budgets are sent to Coordinators and Department Heads.

Nov 27 – Jan 4, 2013

Department Heads work with respective Coordinator and Management & Budget to develop budget with direction from the Mayor's Office as required.

January 7, 2013

General, Special and Capital Budget requests submitted to Management & Budget.

January 8 – Feb 28, 2013

Budget submissions are compiled by Management & Budget. Additional input of Coordinators and Department Heads will be required in finalizing the budget as State Budget and Grand List information becomes available.

March 1, 2013

The Mayor's FY 2013-14 General, Special and Capital budgets are submitted to the Board of Aldermen.

GENERAL FUND GUIDELINES

2013-14 GENERAL FUND BUDGET PREPARATION

Statement of Objective: The budget process will evaluate all expenditures and revenues. Any expenses that are not required for the delivery of necessary public services may be eliminated.

Due to continuing economic weakness, it is likely that City will receive reduced State aid in FY 13-14 and it is probable that we will see reductions in some locally generated revenue. This loss of revenue will not be re-couped through Grand List growth so the City faces the real prospect of reduced revenue in FY 13-14. As a consequence, the budget process will require that every expenditure in your budget be supported by a thorough explanation as to its purpose (regardless of fund) and will be analyzed as it relates to the delivery of critical services. Any expenses that are not required for the delivery of necessary public services will be eliminated.

Forms & Reports

Each Department will receive via e-mail an excel file that contains the personnel report (102), the line item detail report (105) and line item justification report (106). This is a new way of completing the budget documents and is an effort to streamline the budget process. The submission must be in the same format as received. That is, an excel format should be returned as an excel worksheet and not a pdf.

In addition, a 2nd excel file relating to General Fund revenue will be provided to all departments who either have revenue line items or who have license/permit fees associated with their department.

General Fund - 102, 105 and 106 Excel Instructions

1) Personnel Report (102), Line Item Detail (105) and Line Item Expenditure Explanation Form (106) Excel Instructions;

Management and Budget has implemented a new excel format that links the Personnel Report (102) and the Line Item Detail report (105) and the expenditure explanation form (106). You will receive this information via e-mail.

In this excel package will be the line item budget (105), the current personnel file (102) and the individual line item expenditure explanation forms. Please follow the guidelines below for filling out this excel package.

1. Please do not change any formulas or formats on the 102, 105, and 106 sheets. Local 884 is the only contract that has been settled and these salaries have been adjusted
2. Please change the dollar amount in the "Dept Request" only. Do not input any data on the "Mayors" or "BOA" section.
3. Tabs labeled "50110" are linked to the "102" tabs. Please use the 102 tab for filling in new positions. Do not insert any items on a 50110 tab. The 50110 tabs are directly linked to the 102 summary. Any information that you enter on the 102 will appear on the 50110 tab. Each 102 has space for three to four (depending on your department) new positions. If you need to add more than three new positions, please insert rows on the 102 only. M&B will make any necessary adjustments to the 106 personnel tabs.
4. Use the "text box" to update the description of the 106 form. **Please note, copier service(s) and cell phone services will be consolidated into the Finance Departments central services account. Please do not change the description on that line item.**

2) If your Department currently generates General Fund revenues or has license and permit fees you will also receive an excel worksheet that contains form 1A Revenue Explanation. This should be filled out as required. Any new revenue line items should be identified on form 1B which is on the Citywide drive under N:MGB/FY 13-14 GF 1B New Revenue Form.

3) Performance Indicators – Each department will receive a word document that contains the FY 12-13 final submission. These should be updated and amended as necessary. These charts will be used to help depict a department's activities and achievements. Please revise and modify to reflect changes in performance which match current departmental goals, objectives and outcomes.

In order to assist your department in the completion of its budget, please find listed below Management & Budget Staff who will provide you with any technical help that is required.

Joe Clerkin (946-7922) - General budget questions.

Mark Vauiso (946-8354) - Capital Budget, Mayors Office and Library

Liz Smith/Ron Gizzi (946-8390, 946-8358) – Department Narratives including FY 12-13 Highlights (all funds) and FY 13-14 goals/initiatives and Special Fund Budgets.

Michael Gormany (946-6413) – General Fund, 106 Forms and Revenues including License permits & fee schedule.

Citywide Drive

N: MGB/FY 13-14

Word Document

General Fund Guidelines.doc

GENERAL FUND NARRATIVE

DEPARTMENT NAME:

DEPARTMENT HEAD:

ADDRESS:

TELEPHONE:

MISSION/OVERVIEW:

FY 2012-13 HIGHLIGHTS:

FY 2013-2014 GOALS/INITIATIVES:

Citywide Drive
N: MGB/FY 13-14
Word Document
General Fund Narrative Form.doc

FORM 106

LINE ITEM ESTIMATE & JUSTIFICATION FISCAL YEAR 2013-14 GENERAL FUND BUDGET PREPARATION

FUND: GF1

AGENCY:

ORGANIZATION/PROGRAM:

LINE ITEM:

FY 11-12

Actual

FY 12-13

BOA
Budget

FY 13-14

Dept
Request

FY 13-14

Mayor's
Budget

Detailed Explanation:

FORM 1A

REVENUE EXPLANATION FORM

FISCAL YEAR 2013-14 GENERAL FUND BUDGET PREPARATION

AGENCY: _____ PREPARED BY: _____

REVENUE CODE: _____

REVENUE SOURCE: _____

LEGISLATIVE AUTHORITY: _____

STATE OR FEDERAL AGENCY INVOLVED: _____

FY 2012-13
BUDGET

FY 2012-13
PROJECTED

FY 2013-14
ESTIMATE

Detailed Explanation:

Increases in Fees must be linked to

Choose One
Consumer Price Index
Other comparable municipalities
Cost of service

FORM 1B

NEW OR EXPANDED NON TAX REVENUE SOURCE

FISCAL YEAR 2013-14 GENERAL FUND BUDGET PREPARATION

AGENCY: _____ PREPARED BY: _____

PROPOSED NEW OR EXPANDED NON TAX REVENUE SOURCE:

FY 2013-14
ESTIMATE

Detailed Explanation:

SPECIAL FUNDS GUIDELINES

2013-2014 SPECIAL FUNDS BUDGET PREPARATION

Each Department will receive via e-mail an excel file that contains the personnel report (102) and the line item detail report (105). This is a new way of completing the budget documents and is an effort to streamline the budget process. The submission must be in the same format as received. That is, an excel format should be returned as an excel worksheet and not a pdf.

1) Narrative

Special Fund Narrative Form (2A)

The narrative format is to be used uniformly for all special funds within your department. The form is required for each budget that is submitted.

2) Reports

Personnel Services (102)

The Personnel Services report lists all currently authorized positions. Review and indicate any changes that need to be made for FY 2012-2013. Also, make sure you indicate any new or eliminated positions in FY 2013-2014.

Department Line Item Request Form for Existing Funding Sources (105)

The first column in the report indicates the amount of funds currently on MUNIS. In the second column the department must report any additional funding which is anticipated for FY 2012-2013 that is not currently on MUNIS. The third column must show the anticipated date of receipt. The forth column is for the FY 2013-2014 departmental request.

New Grant Estimate Form (2B)

This is to be used only for new grants which are not on MUNIS. Indicate the line items to be requested and the dollar amounts required to carry out the service/program.

The following line item percentages should be used to calculate employee fringe benefits. These amounts should be based on the salary amount shown on the Personnel report.

FICA (58852)	7.65%
Medical Benefits (51809)	40%
Workers Compensation (59933)	
1507 Group A - Office Worker	0.64%
1508 Group B - Field Worker	5.16%
1509 Group C - Public Safety	6.35%
1510 Classroom Staff and Administrators	0.68%
Direct Cost/Program Delivery/Unemployment (56623)	2.5%

It should be noted that the medical benefits contribution level will be analyzed after negotiations with the various bargaining units has been completed. As such, Management & Budget has included a 2% salary increase and also reserves the right to revise the medical benefits contribution level at that time.

Special Fund Narrative Form 2A

Name of Grant and Revenue Source:

Description of Services/Programs to be provided:

Time Frame of the Grant Agreement/Award: (Starting and ending dates.)

Salaries: Indicate the number of full time and part-time position(s) and identify any additional funding sources that will be used for the position(s) funded under this grant.

Status of Funds: If the grant is renewed will level funding be expected? Indicate whether the funding is expected to be carried over to FY 2013-2014. Indicate if unexpended funds must be returned to funding agency or if the grant agreement can be amended for time.

Funding Consistence: Indicate how many years the City has been receiving this funding and whether it has been continuous.

Note: This form is required for all special fund budgets submitted.

City wide Drive

MGB/FY 13-14

Word

Special Fund Narrative FORM 2A.doc

NEW GRANT ESTIMATE FORM
FISCAL YEAR 2013-2014 SPECIAL FUND PREPARATION
NEW FUNDING

NEW FUNDING

AGENCY _____

GRANT NAME _____

REVENUE SOURCE _____

PREPARED BY _____

[illegible]

Capital Projects Guidelines 2013-14 Capital Project Budget Preparation

As defined by Section 79 of the City Charter a Capital Project is,

"... Any physical public betterment or improvement or any preliminary studies and surveys relative thereto; the acquisition of property of a permanent nature; and equipment for any public betterment or improvement when first erected or acquired; major alterations and repairs to existing buildings and structures; and major pieces of equipment."

All FY 13-14 requests must be in compliance with the Charter definition. Requests that do not fit within the definition will be rejected.

1. Please complete Form 3A, Five Year Plan listing all the Capital Projects you are requesting in FY 2013-14. Show a multi-year funding stream if applicable.
2. Please complete a Form 3B for every project listed on Form 3A. Provide a detailed description of the project. Also include other funding (i.e. State, Federal) if applicable. Please note the Board of Aldermen closely scrutinized each request during the FY 12-14 budget process. It is anticipated that a thorough review of each request will take place in FY 13-14 as well.
3. Also attached is a listing of active capital projects for your department from FY 11-12 and FY 12-13. Review these projects and determine if you can re-designate any of these funds for FY 2013-14 projects. You can also change descriptions and titles on active projects to meet your present needs. Please use Form 3C to accomplish this request.
4. Forms 3A, 3B and 3C are listed on the citywide drive under the file directory "MGB" under the sub-directory "FY 13-14." They are clearly titled. Form 3A is an excel worksheet and is named while Form 3B and Form 3C are word documents.
5. If you have any questions with regards to completing these forms. You should call Mark Vauiso in the Office of Management and Budget at 946-8354.

All documents must be submitted by established deadlines. Thank you.

Citywide Drive
N: MGB/FY 13-14
Word Document
Capital Project Budget Instructions.doc

FORM 3A[illegible]

Citywide Drive
N: MGB/FY 13-14
EXCEL
Capital Projects Form 3A.xls

Capital Project Description Form (To Be Completed For Each Project on Form 3A)

FORM 3B

Agency _____

Date Prepared: _____

Contact Person: _____

Phone Number _____

1. Project Title

2. Priority Number

4. Location (Attach map if appropriate)

3. Purpose of Project Request (Check One)

() Add new item to the Program

() Continuation of a previously adopted project

() Modification of project already adopted in program
(Year approved _____)

5. Description:

6. Cost and Recommended Source of Financing

BUDGET FISCAL

YEAR:

City:

State:

Federal:

Other:

Redesignations:

2014

2015

2016

2017

2018

TOTAL:

FIVE YEAR GRAND TOTAL: _____

7. 2014 request detail for state, federal, other,
& redesignations:

Type:

Agency:

Name or Account
Number:

Amount:

8. Estimated Life of Capital Project 5, 10 or 20
years:

Form 3C
City of New Haven
Request for Capital Projects Redesignation

Department: _____

Department Head or Coordinator: _____

Telephone Number: _____

Date: _____

From:

#		Account#:	Title:	Amount:
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
	Total:			

To:

#		Account#:	Title:	Amount:
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
	Total:			



New Haven Democracy Fund

"To ensure that all the citizens of New Haven have a fair and meaningful opportunity to participate in the election of mayor."
New Haven Code of General Ordinances, Chapter 2, Article XI, §2-821 • Established in 2007 • democracyfund@newhavenct.net



Memorandum

To: Democracy Fund Board members

From: Administrator Kenneth J. Kraveske

Date: December 5, 2012

re: Exploratory Committees and Democracy Fund compliance in
New Haven Mayoral Elections

Issue: Persons seeking to test the waters for a mayoral candidacy may form an Exploratory Committee, and then, declare a candidacy and participate in the Democracy Fund. A number of questions have arisen, and the Fund Board is asked to take a position on how Exploratory Committees interact with the Fund and its purposes.

Analysis: An exploratory committee is permitted under Connecticut General Statutes ("C.G.S.") 9-601. Individuals can contribute up to \$375 to an exploratory committee. The State Elections Enforcement Commission ("SEEC") has instituted quarterly reporting deadlines, and statute requires exploratory committees disband when a candidacy is announced. There is no candidate in an exploratory committee.

Recently, it has been asked of the Democracy Fund

1 - If an Exploratory Committee needs to report to the Democracy Fund when it raises more than \$5,000 (and thus making a contested election)?

2 - If an Exploratory Committee can use Democracy Fund contributor forms to collect donations, and then have those donations count towards the matching donations requirements for matching funds under the Ordinance?

3 - If an Exploratory Committee can roll over funds collected during the exploratory phase into the candidate committee?

4 - If a candidate committee participating in the Democracy Fund can collect donations from the same individual donors who gave to the Exploratory Committee?

The answers for the first three questions are clearly no. The answer to the fourth question seems yes.

At the outset, we must note that the Democracy Fund administrator asked Corporation Counsel's opinion on this matter. Corporation Counsel responded that under Section 2-823(c)(3) of the Ordinance, statutory provisions related to the administration of the Democracy Fund, legal advice to the Democracy Fund in the first instance is to be

provided by an "independent attorney." Section 2-823(c)(3) (recognizing that the "board's duties shall include . . . [s]election and engaging of an independent attorney to advise the board of legal matters, when necessary"). While there may be matters that Corporation Counsel's office will provide opinions on, this is not one. In fact, Corporation Counsel's office felt legal advice was not even necessary for the resolution of these questions. Corp. Counsel Bolden wrote:

Under Sec. 2-823(c)(4) (including within the scope of the "board's duties," the [e]stablishment of rules of procedure for board meetings, hearings and general operation not inconsistent with this article"). Notably, the Democracy Fund ordinance "empower[s]" the Democracy Fund Board "to adopt and publish regulations to carry out the provisions of this article." Sec. 2-823(e). As a result, the Democracy Fund Board may adopt regulations to address a circumstance not expressly contemplated by the ordinance, but nevertheless within the Democracy Fund's legal purview. In doing so, any existing and relevant regulations should serve as guide for the Democracy Fund Board.

Consistent with the framework laid out above, to the extent legal advice is required at all -- given the applicability of Section 2-823(c)(3) -- the prudent approach would be for the Democracy Fund Board to have its independent attorney provide such advice and, to the extent there are remaining issues of legal propriety, relating to federal, state or otherwise applicable local law, to consult this Office at that time.

Given that backdrop, we begin by consulting the ordinance, which only mentions exploratory committees once, and that is to exclude them from the definition of mayoral committee. Ordinance Sec. 2-822(1) states "'Mayoral Committee' as used in this article shall not include any 'Exploratory Committee.'"

The fact that the Democracy Fund Ordinance only allows candidates to contract with it (Sec. 2-824) answers the first two questions.

First, an exploratory committee generates a candidate, and it terminates when a candidate declares her intention to run for mayor. The exploratory committee then has no candidate who can sign a contract with the Democracy Fund. Only candidates who contract with the Democracy Fund are required to report fundraising levels to the Fund, thus, an exploratory committee need not report to the Democracy Fund when it raises \$5,001.00.

Second, only candidates who sign a contract can use Democracy Fund forms to track donations. On the state level, in races for state representative or state senate, the Clean Elections Program ("CEP") allows exploratory committees to use CEP forms, and then

roll the donations over into the primary or general candidate committee. Those donations can count towards the candidates donation requirement for the one-time grant.

Given that the same legislation that created the CEP granted three municipalities who so chose the authority enact a public campaign finance system for their elections, it would seem logical to ask if the same mechanism exists in the Democracy Fund. It doesn't. An candidate committee cannot count donations from an exploratory committee to the Democracy Fund matching funds requirement, nor can a candidate committee accept any funds from an exploratory committee.

The Ordinance defines a contribution as any money or anything of value given for the purpose of influencing the election (Ord. Sec. 2-822(7)). When dealing with contributions specifically, Ordinance Sec. 2-825(a) states:

a participating candidate and his or her mayoral committee may only accept contributions from individuals and from a New Haven party town committee, and *may not accept contributions from "political committees"* or "business entities" as those terms are defined in Connecticut General Statutes, Section 9-601(a). The contribution limits of this ordinance take precedence over state-imposed limits. Only contributions from registered voters of the City of New Haven shall be considered matchable contributions under this ordinance. (emphasis added)

For reference sake, C.G.S. §9-601(a)(3) defines a "political committee" as:

(A) a committee organized by a business entity or organization, (B) persons other than individuals, or two or more individuals organized or acting jointly conducting their activities in or outside the state, (C) *an exploratory committee*, (D) a committee established by or on behalf of a slate of candidates in a primary for the office of justice of the peace, but does not mean a candidate committee or a party committee, (E) a legislative caucus committee, or (F) a legislative leadership committee. (emphasis added)

The statutory inclusion exploratory committee within the definition of political committee, when coupled with the reference to that in the Ordinance, disallows the roll over of funds from an exploratory committee to a primary or general mayoral committee. So while the Democracy Fund ordinance does not use the words "exploratory committee" more than once, the framers of the ordinance did not want funds generated by an exploratory committee to come into a candidate's primary or general election committee.

The Democracy Fund, though, does not prevent the use of an exploratory committee at all. Based on this reading of the Ordinance, an exploratory committee may create or

generate a candidate, and that candidate can then contract with the Democracy Fund – provided that the candidate does not take any contribution from the exploratory committee.

So, hypothetically, an exploratory committee can raise \$7,500, and so long as the exploratory committee spends all that money on things that cannot be transferred to the primary or general election candidate committee, and dissolves with a zero balance in its bank account, then the candidate can participate in the Democracy Fund. State law appears to prevent an exploratory committee from even buying a computer.

Yet, some candidates may find value in an exploratory committee, even though an exploratory cannot contribute “any money or anything of value...for the purpose of influencing the election” Thus any voter histories made by the exploratory committee, any research, any ideas, practically anything tangible or intangible.

The value in an exploratory committee apparently lies in “double dipping” – where the exploratory committee can hit a donor for \$375.00 in the exploratory phase, spend all that money and then once the candidate has declared and created a candidate committee, solicit that donor for a second contribution of \$370.00.

No language in the ordinance prevents this “double dipping.” While it seems against the spirit of the Ordinance, which limits contributions to \$370.00 from only New Haven registered voters, there is nothing specifically to prevent it.

It does not seem as if the Board can adopt a regulation, consistent with the ordinance, to prevent a candidate from “double dipping.” The regulation would, by inference, prevent a person from donating, or participating, in an electoral process. The Board cannot, under the Constitution, prevent a donor from participating in a primary or general if they have already given to an exploratory committee. That kind of a regulation seems contrary to the Fund’s purpose, which is to increase participation in New Haven’s mayoral elections.

Persons have asked if the Fund Board should ask the Board of Aldermen should address this issue of exploratory committees, either by expanding the ordinance to include exploratory funds as state law allows, or by more specifically rejecting exploratory committees from Fund purview. This memo does not confront that situation.

In conclusion, the Fund Board can make a statement clarifying its position on exploratory committees and the limited role that they may play for candidates who eventually choose to participate in the Democracy Fund.



New Haven Democracy Fund

"To ensure that all the citizens of New Haven have a fair and meaningful opportunity to participate in the election of mayor."
New Haven Code of General Ordinances, Chapter 2, Article XI, §2-821 • Established in 2007 • democracyfund@newhavenct.net



2013 GENERAL ELECTION

Candidate Contract

Candidate Information

Name of Candidate: _____

Mailing Address: _____

City, State, Zip Code: _____

Party Affiliation: _____

Phone (home): _____

Phone (work): _____

Phone (cell): _____

E-Mail: _____

Fax: _____

Candidate Committee Information

Name of Committee: _____

Address of Campaign Headquarters: _____

City, State, Zip Code: _____

Phone: _____

E-Mail: _____

Treasurer's Information

Name of Treasurer: _____

Mailing Address: _____

City, State, Zip Code: _____

Phone (home): _____ Phone (work): _____

Phone (cell): _____ Fax: _____

E-Mail: _____

DECLARATIONS OF CANDIDATE AND TREASURER

We _____ (*candidate*) and _____ (*treasurer*) of
_____ (*candidate committee*) hereby declare our
commitment to participate in the New Haven Democracy Fund program for the 2013
general election campaign.

1. We certify that the candidate, committee, and treasurer information provided above is true, correct and complete to the best of our knowledge, and that we will immediately notify the Democracy Fund Administrator (“the Administrator”) of any changes in this information;
2. We understand that we are responsible for reading, understanding and knowing the contents of the New Haven Democracy Fund Ordinance (“the Ordinance”) and of any published regulations or formal interpretations of the Ordinance (“regulations and/or interpretations”) adopted by the Democracy Fund Board;
3. We certify that we will comply with all of the contribution, expenditure, and personal funds limits in the Ordinance;
4. We certify that we will comply with the provisions of, and accept the penalties, including personal liability, associated with noncompliance with the Ordinance, regulations, or interpretations;
5. We certify that the treasurer of the campaign committee will expend any funds received from the Democracy Fund in accordance with the provisions of the Ordinance, regulations, and interpretations;
6. We certify that we will be personally and jointly and severally liable for, and shall repay to the Democracy Fund, any such funds that are not expended in accordance with the Ordinance, regulations, or interpretations;
7. We certify that, upon signing this candidate contract, we will immediately report to the Administrator amounts raised or spent prior to filing for participation, including any contributions received from improper sources or in improper amounts, as defined by the Ordinance;
8. We certify that we will file on the State Elections Enforcement Commission’s Electronic Campaign Reporting Information System (eCRIS) website, on the dates required by the state, copies of the reporting statements required under Conn. Gen.

Statutes Sect. 9-608, including pre-participation and termination statements, as well as the reporting statements required by Ordinance §2-824(d)(8);

9. We certify that we will report to the Administrator as soon as the campaign has either raised or spent \$5,500.00 (that is, that the election is “contested”);

10. We certify that we will report to the Administrator as soon as the candidate obtains a party nomination or successfully or unsuccessfully petitions to be on a ballot, and when the candidate withdraws from the election;

11. We certify that all city contractors who give us an aggregate of \$100 or more in the general election will identify themselves as city contractors on a contributor card;

12. We certify that we will also be subject to the record-keeping and reporting requirements of the Ordinance, as well as to audit and examination as provided in the Ordinance;

13. We certify that we will not accept campaign contributions from political action committees or business entities;

14. The candidate certifies that he or she will participate in at least one public forum to be designated by the Administrator, at which all candidates qualified for the relevant ballot are invited to participate;

15. We understand that the campaign must meet the threshold of qualifying contributions specified in the Ordinance in order to be eligible to receive public matching funds, and must meet this threshold as well as other requirements to be eligible to receive a public financing grant;

16. We understand that the candidate cannot withdraw from participation in the Democracy Fund program for this election after making an initial application for public matching funds.

Both Candidate and Treasurer must sign.

Date

Candidate signature

Date

Treasurer signature



New Haven Democracy Fund

"To ensure that all the citizens of New Haven have a fair and meaningful opportunity to participate in the election of mayor."
New Haven Code of General Ordinances, Chapter 2, Article XI, §2-321 • Established in 2007 • democracyfund@newhavenct.net



2013 PRIMARY ELECTION

Candidate Contract

Candidate Information

Name of Candidate: _____

Mailing Address: _____

City, State, Zip Code: _____

Party Affiliation: _____

Phone (home): _____

Phone (work): _____

Phone (cell): _____

E-Mail: _____

Fax: _____

Candidate Committee Information

Name of Committee: _____

Address of Campaign Headquarters: _____

City, State, Zip Code: _____

Phone: _____

E-Mail: _____

Treasurer's Information

Name of Treasurer: _____

Mailing Address: _____

City, State, Zip Code: _____

Phone (home): _____ Phone (work): _____

Phone (cell): _____ Fax: _____

E-Mail: _____

DECLARATIONS OF CANDIDATE AND TREASURER

We _____ (*candidate*) and _____ (*treasurer*) of
_____ (*candidate committee*) hereby declare our
commitment to participate in the New Haven Democracy Fund program for the 2013
primary election campaign.

1. We certify that the candidate, committee, and treasurer information provided above is true, correct and complete to the best of our knowledge, and that we will immediately notify the Democracy Fund Administrator (“the Administrator”) of any changes in this information;
2. We understand that we are responsible for reading, understanding and knowing the contents of the New Haven Democracy Fund Ordinance (“the Ordinance”) and of any published regulations or formal interpretations of the Ordinance (“regulations and/or interpretations”) adopted by the Democracy Fund Board;
3. We certify that we will comply with all of the contribution, expenditure, and personal funds limits in the Ordinance;
4. We certify that we will comply with the provisions of, and accept the penalties, including personal liability, associated with noncompliance with the Ordinance, regulations, or interpretations;
5. We certify that the treasurer of the campaign committee will expend any funds received from the Democracy Fund in accordance with the provisions of the Ordinance, regulations, and interpretations;
6. We certify that we will be personally and jointly and severally liable for, and shall repay to the Democracy Fund, any such funds that are not expended in accordance with the Ordinance, regulations, or interpretations;
7. We certify that, upon signing this candidate contract, we will immediately report to the Administrator amounts raised or spent prior to filing for participation, including any contributions received from improper sources or in improper amounts, as defined by the Ordinance;
8. We certify that we will file on the State Elections Enforcement Commission’s Electronic Campaign Reporting Information System (eCRIS) website, on the dates required by the state, copies of the reporting statements required under Conn. Gen.

Statutes Sect. 9-608, including pre-participation and termination statements, as well as the reporting statements required by Ordinance §2-824(d)(8);

9. We certify that we will report to the Administrator as soon as the campaign has either raised or spent \$5,500.00 (that is, that the election is “contested”);

10. We certify that we will report to the Administrator as soon as the candidate obtains a party nomination or successfully or unsuccessfully petitions to be on a ballot, and when the candidate withdraws from the election;

11. We certify that all city contractors who give us an aggregate of \$100 or more in the primary election will identify themselves as city contractors on a contributor card;

12. We certify that we will also be subject to the record-keeping and reporting requirements of the Ordinance, as well as to audit and examination as provided in the Ordinance;

13. We certify that we will not accept campaign contributions from political action committees or business entities;

14. The candidate certifies that he or she will participate in at least one public forum to be designated by the Administrator, at which all candidates qualified for the relevant ballot are invited to participate;

15. We understand that the campaign must meet the threshold of qualifying contributions specified in the Ordinance in order to be eligible to receive public matching funds, and must meet this threshold as well as other requirements to be eligible to receive a public financing grant;

16. We understand that the candidate cannot withdraw from participation in the Democracy Fund program for this election after making an initial application for public matching funds.

Both Candidate and Treasurer must sign.

Date

Candidate signature

Date

Treasurer signature



New Haven Democracy Fund

"To ensure that all the citizens of New Haven have a fair and meaningful opportunity to participate in the election of mayor."
New Haven Code of General Ordinances, Chapter 2, Article XI, §2-321 • Established in 2007 • democracyfund@newhavenct.net



2013 PRIMARY ELECTION

Participation Affidavit

Candidate's Name and Address: _____

Name and Address of Candidate Committee: _____

Name and Address of Treasurer of Candidate Committee: _____

We hereby certify that we

☐ intend

☐ do not intend

to abide by the expenditure limits set forth in the New Haven Democracy Fund Ordinance for the 2013 mayoral primary election campaign. We recognize that a failure to file this affidavit with the Democracy Fund Administrator by 4:00 pm on the 60th day before the day of the 2013 mayoral primary election will result in the candidate being deemed a nonparticipating candidate.

Date

Candidate signature

Date

Treasurer signature

Note: A participating candidate and treasurer must also sign and submit to the Democracy Fund Administrator a 2013 Primary Election Candidate Contract.

Official Use Only:

Donor # _____ Cand. Contribution # _____ Qual. Amount: \$ _____ Match: \$ _____



New Haven Democracy Fund

"To ensure that all the citizens of New Haven have a fair and meaningful opportunity to participate in the election of mayor."
New Haven Code of General Ordinances, Chapter 2, Article XI, §2-821 • Established in 2007 • democracyfund@newhavenct.net



2013 PRIMARY ELECTION **Individual Contribution Card**

[Candidate Name/Committee name]

Mayoral Candidate _____ is participating in the New Haven Democracy Fund, a public campaign financing program. The Fund will match, two-to-one, contributions from registered voters in New Haven, from \$10 to \$25. An individual contributor may give up to \$370 per general election in money and in-kind contributions, but the Fund only matches the first \$25 of a monetary contribution. Only individual contributions of \$25.00 or less may be in cash.

Required Individual Contributor Information

Name: _____

Home Address: _____

City, State, Zip Code: _____

I am registered to vote in the City of New Haven Yes ☐ No ☐

Amount: \$ _____

☐ Check/Money Order # _____ ☐ Cash ☐ Credit/Debit Card

If you donate \$100 or more to a campaign in aggregate, you must answer this question:

Do you, or any business you are associated with (as director, officer, owner, partner, or owner of over 5% of stock), have a contract (other than an employment contract) with the City of New Haven valued at more than \$5,000? Yes ☐ No ☐

If you donate \$50 or more to a campaign in aggregate, Conn. Gen. Stat. §9-608(c) may require the following data:

Employer: _____ Principal Occupation: _____

Are you a lobbyist? Yes ☐ No ☐ Are you the spouse or dependent child of a lobbyist? Yes ☐ No ☐

I hereby affirm that this contribution is being made from my own funds, is not being reimbursed in any manner, and is not being made as a loan.

Individual Contributor's signature

Date of contribution