

**CAMPAIGNING EFFECTIVELY FOR
LOCAL OFFICE:
GOOD PEOPLE CAN FINISH FIRST**



INSTITUTE *for* LOCAL
SELF GOVERNMENT

SEMPRA ENERGY CHAMPIONS ETHICAL CONDUCT AS A KEY ELEMENT OF SUCCESS

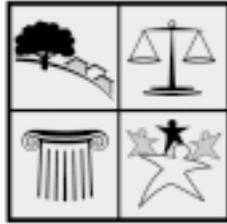
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SELF GOVERNMENT

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by the Institute for Local Self Government.*

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THIS PUBLICATION IS NO SUBSTITUTE FOR LEGAL ADVICE

This publication provides an overview of ethics issues and includes a summary of campaign law. Readers should note that attorneys can, and do, disagree over the interpretation of the law. Moreover, campaign laws and regulations are subject to change and new court decisions can alter the practices those seeking election or re-election to public office should follow. The wisest course is to consult an attorney regarding specific requirements under the campaign laws as applied to a particular campaign situation.

CONTENTS

INTRODUCTION AND OVERVIEW	3
DEFINING YOUR CANDIDACY AND DEVELOPING YOUR MESSAGE	7
BUILDING A CAMPAIGN ORGANIZATION.....	13
VOTER CONTACT	21
FUNDRAISING	27
COMPLYING WITH THE LAW	35
CONCLUSION: ETHICS AND POLITICAL CAMPAIGNS	43
RESOURCES FOR FURTHER REFERENCE.....	45

ATTACHMENTS:

CALIFORNIA CODE OF FAIR CAMPAIGN PRACTICES	49
AMERICAN ASSOCIATION OF POLITICAL CONSULTANTS CODE OF PROFESSIONAL ETHICS	50
CAMPAIGN PLAN CHECKLIST	51

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INTRODUCTION AND OVERVIEW



It is the duty of every citizen according to his best capacities to give validity to his convictions in political affairs.

Albert Einstein

A [person] of honor should never forget what he is because he sees what others are.

Baltasar Gracian

Nothing is politically right which is morally wrong.

Attributed to Daniel O’Connell

The purpose of this publication is to debunk a myth: the myth that good people can’t finish first in politics. Running an effective campaign takes a message that resonates and a plan for connecting the candidate’s message with the voters. Typically, these require some degree of campaign organization and funding.

This guide contains tips on how to put the elements of an effective campaign together – without forsaking your values and principles. It is based on the pioneering research conducted by both the Center for Campaign Leadership at the University of California at Berkeley and the Institute for Global Ethics. The upshot of that research is that voters yearn for candidates who campaign truthfully and fairly, as well as candidates who eschew the negative, attack-style campaigning that sometimes can seem too prevalent in elections today.

With this in mind, this guide will cover the following, with a particular emphasis on campaigns for local office:

- **Your Message as a Candidate: Why Should People Vote For You?** Learn the components of a winning campaign message, including theme, rationale, and issue positions, and how to positively differentiate yourself from your fellow candidates.

- **Getting Organized: Building a Campaign Organization.** How to build a solid campaign organization, including identifying and recruiting volunteers, and building coalitions.
- **Fundraising Basics:** What you need to know about identifying donors and asking for money. The basic steps involved in raising money for political campaigns, including how to identify and motivate likely donors.
- **Connecting with the Voters: Media, Mail, Debates and Direct Voter Contact.** The most effective ways to get your message to voters, including earned media, paid media and direct mail, and other forms of effective voter contact.
- **Staying on the Right Side of the Law.** Campaign laws have a number of traps for the unwary. Learn how to avoid them. Don't give your opponents fodder for negative campaigning.

SURVEYS SAY...

VOTERS WEIGH IN ON CAMPAIGN PRACTICES

What are voters looking for in candidate communications? A 2002 survey¹ revealed:

- 88 percent think candidates should agree not to make any personal attacks
- 78 percent think candidates should demand that outside groups pull unfair ads
- 88 percent believe that candidates should refrain from using language or images that define other candidates based on their race, sex, or other personal characteristics
- 60 percent said they would be more likely to vote in an election where all candidates signed codes

In another poll,²

- Some 77 percent of voters would view a candidate more favorably who signed a code of campaign conduct promising to run a truthful campaign.
- Similarly, 73 percent would view a candidate more favorably who signed a code of campaign conduct promising to run an issue-oriented campaign.

In fact, research suggests that even pledging to avoid these kinds of campaign behaviors may elicit a favorable voter response.³ Of course, the key then is for the candidate to walk-the-talk of running a positive, issue-oriented campaign. This is your first opportunity to demonstrate to the voters that you are a person who keeps his commitments, even when the going gets tough.

¹ The poll was commissioned by the Institute for Global Ethics' Campaign Conduct Project and conducted by Lake Snell Perry & Assoc. and Deardourff/The Media Co. from June 6-11, 2002. Surveyed were 800 likely voters. The survey and has a sampling error of plus or minus 3.5 percent.

² Public Policy Institute of California, 2002 Poll.

³ Lipsitz, Keena, *Summary of Research Findings: Voters Weigh-In on "Best Practices" in Campaigns* (2003) at 9.

The goal of this guide is to provide candidates for local office with an overview of these issues. For some campaigns, candidates will want more detail on one or more of these topics. The guide provides a “resources for further reading” at the end of the guide to satisfy this need.

In 1975, the Institute for Local Self Government published a manual on running for local office. The then-executive director of the Institute observed:

More importantly, the Institute shares the concern of many Americans over the mounting distrust and disgust with “politicians.” We, too, are shaken at the prospect of public disinterest [in politics] because of the failings of a few...Local government is the base upon which this great republic was built and from which it continues to draw its leadership.⁴

The need for strong local leadership provided by people of integrity and principle is no less imperative some thirty years later. This guide is designed to provide some measure of assistance to you, as just such a source of leadership. Good luck with your campaign!

⁴ Norris, Bob and Rowe, Ken, *How to Take Over your Local Government (for Fun and Profit???)*, (Institute for Local Self Government: 1975) at vii-viii.

NOTES:

DEFINING YOUR CANDIDACY AND DEVELOPING YOUR MESSAGE



Good business leaders create a vision, articulate the vision, passionately own the vision and relentlessly drive it to completion.

Jack Welch

It is not best that we all should think alike,
it is differences of opinion that make horse races.

Mark Twain

In political discussion heat is in inverse proportion
to knowledge.

J. G. C. Minchin

Be sincere; be brief; be seated.

Franklin Delano Roosevelt

TOP TEN THINGS TO KNOW

1 Campaigns as Communications. Fundamentally, campaigns are about persuading likely voters to vote for you. To do this, candidates need both a message and a strategy for communicating that message. There are three elements of a campaign message: 1) the campaign rationale, 2) the campaign theme, and 3) positions on key issues.

2 Campaign Rationale. Your campaign rationale is the reason you are running for office. It should be one or two sentences, at most and should complete the statement “I am running for [insert office] because...” The rationale should explain why the candidate cares and reflect the candidate’s background.



**BRIGHT IDEA:
BRAINSTORMING
YOUR CAMPAIGN
RATIONALE, THEME
AND POSITIONS**

Ask yourself:

- What is it I want to accomplish as a public official? Why is this important to me and why should it be important to the community?
- What are the key issues facing our community? Why are these issues important? What do I think we should do about them? Why?
- What's right with what is going on with [insert office or governing board sought]? What could be improved? What steps need to be taken to achieve these improvements?
- What is my opponent going to say about my qualifications for office and my positions? What is my response?
- What key issues would I face if I won?

See also campaign message worksheet at page 10.

3 Campaign Theme. A campaign theme serves as a bridge between the campaign rationale and the candidate's positions on the issues. A campaign theme should be short, clear and emphasize concepts with which most voters agree.

There are two sources of ideas for campaign themes: the candidate's stand on a key policy issue and the candidate's personal characteristics. Is the office to which you are seeking election grappling with a major policy issue? In terms of personal characteristics, are there major points of contrast between the candidate and others in terms of leadership style, values, and experience? A campaign theme answers the questions: "What is your candidacy about?" "What do you stand for?" Anticipating key areas in which others will criticize you and making negatives into positives can also be effective (for example, transforming lack of governmental experience into "a fresh perspective").

4 Be Informed on the Issues. Voters are most interested in candidates' positions on the issues.⁵ Read up on the issues facing the community. Find out how the office you are running for can affect these issues; get a sense of the duties of this office. Attend meetings and listen carefully for information bearing on community issues. Talk to community groups, previous office holders, staff and others to determine what is going right for the community and what could be improved. Make notes about relevant information and statistics. Then form your positions on these issues.

5 Communicating Positions on Issues. For purposes of your campaign communications, identify:

- Three issues
- That you think are important
- That the voters think are important
- On which both you and the voters agree

⁵ Trost, Christine, *Summary of Research Findings: Key Findings and Analysis of Center for Campaign Leadership and Public Policy Institute of California Focus Groups* (2003) at 4.

6 Think Through Strengths and Weaknesses. In the process of developing your campaign messages, think through your own strengths and weaknesses as well as those of your opponent(s). See message development worksheet below.

CAMPAIGN PLAN NOTE

As you develop your campaign plan, there will be a heavy emphasis in the early weeks of your campaign to message development activities:

- Researching the issues facing the community;
- Researching the demographics, voting patterns and concerns of the relevant electorate;
- Prioritizing issues;
- Developing positions on priority issues; and
- Developing your campaign theme. Subsequent weeks will be devoted to message delivery and voter contact.

7 Presenting Your Positions and Those of Your Opponent. Voters want truthful, relevant and fair information, particularly in political advertisements.⁶ Present your own and your opponents' positions and qualifications truthfully. Avoid half-truths or twisting the facts to create a false impression. Back up factual claims with documentation.

8 Give Voters the Information They Want. Voters want and need information to help them decide which candidate to support. Contrasting your positions and qualifications against those of your opponents satisfies that need. On the other hand, name-calling, character assassination, innuendo, and stereotyping are some of the kinds of activities to which voters react negatively. Using such techniques increases the risk of alienating voters. These techniques are also inconsistent with the ethical value of respect for others. Keep any criticism of your opponents respectful, fair, relevant and truthful (for example, by contrasting your positions on key issues and providing documentation of claims). Pay attention to tone and timing (for example, leaving your opponent time to respond).⁷ The Golden Rule is relevant here: you don't want to be the object of this kind of campaigning by your opponent; avoid it yourself.

⁶ Trost, Christine, *Summary of Research Findings: Key Findings and Analysis of Center for Campaign Leadership and Public Policy Institute of California Focus Groups* (2003) at 4.

⁷ Lipsitz, Keena, *Summary of Research Findings: Voters Weigh-In on "Best Practices" in Campaigns* (2003) at 8.

⁸ Lake Snell Perry & Assoc. and Deardourff/The Media Co. from June 6-11, 2002. Surveyed were 800 likely voters. The survey and has a sampling error of plus or minus 3.5 percent.

SURVEYS⁸ SAY...

- 55 percent believe that all or most candidates twist the truth to get elected
- In an open-ended question, a strong consensus emerged about candidate honesty. Seventeen percent of those responding identified lack of honesty/lying as a concern about campaigns. Nine percent said they believe that politicians don't keep promises and say whatever it takes to win.

MESSAGE DEVELOPMENT WORKSHEET⁹

What You Will Say About You

What You Will Say About Your Opponent

What Your Opponent Will Say About You

What Your Opponent Will Say About Him/Herself

⁹ Sorensen Institute for Political Leadership, University of Virginia, Candidate Training Materials (www.sorenseninstitute.org).

9 Responding to Negative Attacks. This is where your own stated commitment to running a positive, issue-oriented campaign can be helpful to help inoculate your campaign against the effects of negative attacks. The goal is to have such attacks look conspicuously discordant from the positive and informative tone that you are setting with your own campaign.

As previously explained, voters want truthful, relevant and fair information.¹⁰ If you are the victim of a negative attack, analyze what you consider to be an attack piece.

- Is it *truthful*? What documentation do you have to show that it is not truthful?
- Is the subject of the attack relevant to your ability to hold the office for which you are running? Why or why not?
- Is it fair? Is this an example of a half-truth that leaves a false impression? Is the timing suspect?

Then do what you can to get the message out on why the attack is untruthful, irrelevant and unfair.

Keep in mind, though, that it is not at all clear that that negative attack campaigning works. A 1998 study, for example, found that nearly half of the studies on political advertising show that positive advertising is more persuasive than negative advertising. Nearly a third of the studies found that negative advertising backfires.¹¹

Whatever you do, resist the urge to respond in kind with a counter-attack of your own. You run the risk that the counterattack will backfire, and you leave the original attack unanswered on the merits.

SURVEYS¹² SAY...

- 86 percent believe unfair attack campaigning is unethical
- 81 percent believe attack-oriented campaigning is undermining and damaging our democracy
- 76 percent think negative campaigning produces less ethical and trustworthy leaders
- 82 percent think this type of campaigning makes people less likely to vote

¹⁰ Trost, Christine, *Summary of Research Findings: Key Findings and Analysis of Center for Campaign Leadership and Public Policy Institute of California Focus Groups* (2003) at 4.

¹¹ Rourke, Brad, Saucier, Wayne, Krumme, Matthew, *Clean Campaigns: How to Promote Candidate Codes of Conduct* (Institute for Global Ethics: Maine), 2001.

¹² Lake Snell Perry & Assoc. and Deardourff/The Media Co. from June 6-11, 2002. Surveyed were 800 likely voters. The survey and has a sampling error of plus or minus 3.5 percent.

10 Reiterate, Reiterate, Reiterate. Repeating your message is just as important as clarity in campaign messages. Remember you are competing for people’s scarce attention. Moreover, at any given time, your communication is likely to reach different audiences. Typically it takes several exposures to a message for it to persuade (this is the same theory Madison Avenue uses in commercial advertising). Although it may seem tedious, consistently delivering your key campaign rationale, themes and positions will increase the likelihood that they will reach your target voters.

THE IMPORTANCE OF CLARITY IN CAMPAIGN COMMUNICATIONS

Research indicates that voters want substantive information, but they want it in an easily digestible and efficient format.¹³ Therefore your campaign communications must:

- **Be Clear.** Your audience must understand what you are saying and what, if anything, you want them to do. It must be straightforward, follow logically and be heard above all the other “noise” in their lives. Don’t assume the audience knows what your message is unless you state it clearly.
- **Be Focused.** Your message must be laser sharp and should not attempt to convey too many things at once. It must also speak to the interest and concerns of your audience. Keep in mind that the attention span of the average American is short and getting shorter. If you can’t fit your message into a few sentences, it will probably be lost.
- **Be Compelling.** Clarity and focus ensure that your audience understands your message, but whether or not they respond depends on how compelling your message is. This is the “why” part of the question: “What do you want your audience to do and why should they do it?” Regardless of the method of persuasion (logic, statistics, emotional appeal, etc.) the message should compel your audience – to care, to believe, and possibly to act.

Think through the rationale underlying your view(s). Answer the following question in one or two sentences at the most (“I believe X because of Y...”)

¹³ Lipsitz, Keena, *Summary of Research Findings: Voters Weigh-In on “Best Practices” in Campaigns* (2003) at 6.

BUILDING A CAMPAIGN ORGANIZATION



In politics, an organized minority is a political majority.

Jesse Jackson

The leaders who work most effectively, it seems to me, never say “I.” And that’s not because they have trained themselves not to say “I.” They don’t think “I.” They think “we”; they think “team.” They understand their job to be to make the team function. They accept responsibility and don’t sidestep it, but “we” gets the credit...This is what creates trust, what enables you to get the task done.

Peter Drucker

TOP TEN THINGS TO KNOW

1 The Candidate Cannot Do It All. Running for office is an arduous task. The process will be more manageable – and more successful – if there is a division of labor. In particular, it is helpful to have a campaign manager – someone whose job it is to make sure that the campaign plan is being implemented but keeping an eye on the ultimate objective, which is to win the election. Other useful people to have include a volunteer coordinator, a fundraising director and a team of precinct captains.

2 Talk with Senior Statespeople and Village Elders. Each community and each office is unique. Those who have experience with successful campaigns for the office you seek can be a great source of insight on what it takes to win in your area. “Senior statespeople” and “village elders” can include former and present officeholders, former candidates and experienced campaign managers and workers. Find out what works and what doesn’t for your type of campaign. What activities are “must dos” for the campaign plan? What mistakes have they seen and how does one avoid them?

3 Campaigns are about People. Campaigns are about the candidate and the voters, of course. However, campaign volunteers are an important resource. Volunteers perform some of the most critical tasks in a campaign, including voter contact, fundraising, and getting out the vote. They also will – wholly apart from these tasks – influence a circle of friends and family to vote for you, just by their very commitment to your candidacy. Volunteers are also an important source of feedback about how well a candidate’s messages and strategies are working in the field.

KEY CAMPAIGN POSITIONS

Campaign Manager. The campaign manager is responsible for all aspects of the campaign. Initially, the campaign manager will be intimately involved in developing campaign strategy and campaign planning. Then the campaign manager’s role will transition from strategy development to strategy implementation, making adjustments when necessary to achieve the ultimate goal of winning the election. Qualifications include an understanding of political strategy, a mutual trust and rapport with the candidate, good organizational abilities (including management and delegation skills), objectivity about the candidate and the campaign (which may make loved ones inappropriate campaign managers) and the ability to deliver unwelcome information. The campaign manager also needs to share the candidate’s vision of what are – and are not – acceptable campaign practices.

Volunteer Coordinator. This person is responsible for recruiting, scheduling, and organizing the volunteer team. Qualifications include good organizational and scheduling skills, coaching skills (for volunteers with limited or no prior campaign experience), diplomacy, patience and a commitment to ongoing communications with the campaign’s volunteers. The volunteer coordinator must be both a motivator and a source of accountability with the troops. In larger campaigns, one may want to split the function between a volunteer coordinator and a **field coordinator**, with the field coordinator having primary responsibility for implementing the voter contact program.

Fundraising Director. The fundraising director is responsible for implementing the fundraising plan. This involves coordinating all of the tools at the campaign’s disposal to meet fundraising goals within the necessary timeframe. The fundraising director guides the campaign’s major donor and direct mail fundraising programs, and oversees fundraising events. In smaller campaigns that cannot afford an accountant or attorney, the fundraising director must have a basic knowledge of campaign finance regulations.

4 Recruiting Volunteers. Friends, family, co-workers and their friends, family and co-workers are sources of volunteers, as are organizations that share your vision for the community. Know in advance (as part of your campaign planning process) the types of activities for which you need volunteers. This helps you match volunteers' skills and time availability with tasks; it also makes sure that you make prudent and effective use of a most precious resource – people's time.

5 Who Not to Include. On the other hand, avoid people who will discredit the campaign or be a burden (the toxic personality, for example). People who are known to be indiscreet are another kind of volunteer to avoid; your volunteers will be privy to sensitive strategic information about the campaign. You need to trust your team to keep this information confidential.



MIRROR TIME:

WHAT HAPPENS IF THE CANDIDATE AND CAMPAIGN MANAGER OR CONSULTANT DISAGREE ABOUT STRATEGY OR TACTICS?

Ultimately, it is your name on the campaign materials and on the ballot and all campaign activities will reflect on you.

Having a candid conversation at the beginning of the campaign about what you will and will not do to get elected will ideally minimize the likelihood for mid- or late-campaign disagreements.

Also, check out the Code Ethics promulgated by the American Association of Political Consultants included on page 50. The principles articulated in the code may be a starting point for discussions about campaign philosophy.

6 Give Volunteers the Tools and Information They Need. Schedule a meeting at which volunteers can meet the candidate and each other, learn about the key messages of the campaign, what needs to happen for the candidate to win (how many votes per precinct, for example) and have their questions answered. Provide those who will be responsible for precinct work with campaign literature and precinct lists of likely voters. Communicate the campaign's commitment to ethical campaigning and what kinds of activities will not be tolerated (removing other candidates' signs, whispering campaigns, disseminating misleading information, etc.).



MIRROR TIME:

WHAT SHOULD THE CANDIDATE DO IF HE OR SHE LEARNS MEMBERS OF THE CAMPAIGN ARE ENGAGING IN INAPPROPRIATE ACTIVITIES?

Many campaign codes address this issue by committing the candidate to disavow such activities. For example, California's Code of Campaign Conduct, which many candidates sign, says:

I SHALL IMMEDIATELY AND PUBLICLY REPUDIATE support deriving from any individual or group which resorts, on behalf of my candidacy or in opposition to that of my opponent, to the methods and tactics which I condemn. I shall accept responsibility to take firm action against any subordinate who violates any provision of this code or the laws governing elections.

Of course, the more comfortable approach is to make it clear to your supporters and volunteers up front what kinds of campaign you plan to conduct and what kinds of activities will not be acceptable. Stress that, while you appreciate their commitment to your shared cause, if anyone steps over the line, you will have to repudiate them immediately and publicly.

7 Set Goals and Monitor Progress. Based on the campaign plan, make it clear what each volunteer is expected to accomplish in terms of voter outreach, fundraising targets, etc. The volunteer coordinator should follow up to monitor progress on accomplishing those goals, providing coaching and encouragement as well as positive reinforcement. Celebrate successes and acknowledge the contributions of each volunteer to the campaign's goals.

8 Expand Your Campaign's Organization Through Coalition-Building. Focus on building coalitions of people who are targeted by the campaign's message. These coalitions do part of the work of the campaign by drawing in new members and spreading the campaign's message to interested parties. Which coalitions each campaign should build is a question of strategy.



MIRROR TIME:

WHAT SHOULD A CANDIDATE DO IF AN ORGANIZATION OFFERS BODIES TO HELP WITH THE CAMPAIGN, BUT THE CANDIDATE DISAGREES WITH THE ORGANIZATION'S POSITION ON KEY ISSUES?

This is analogous to accepting contributions from a group. In having the conversation about the group's proposed support of your campaign, be frank about areas in which you disagree. If you still feel uncomfortable about accepting the group's support, trust your instincts and tell them that, while you will appreciate their support on election day, you are worried that having the group play a visible role in your campaign may mislead the voters on where you stand on key issues.



BRIGHT IDEA: TIPS FOR COALITION-BUILDING

- **Potential Bases for Organizing Coalitions.** Coalitions can involve existing groups or the creation of new alliances. Existing types of groups to consider include: neighborhood associations, nonprofit advocacy groups, local businesses, churches, labor groups, and service clubs. Coalitions can be built around key issues, such as development (people interested in environmental or planning issues), crime (parents, business owners, youth organizations), or any other key local issue. Coalitions can also be formed regionally (by neighborhood) or by trade/profession.
- **Approach Potential Coalition Members Early.** Ideally groups should be approached before you announce your candidacy or shortly thereafter. First, this can give you a sense of your support base before you commit to a full campaign. Early coalition-building efforts also makes groups feel involved in the decision process and, hence, more committed to the campaign. Research the group's interests and concerns; remember, the outreach process is about identifying and responding to people's concerns.
- **Connecting with Potential Coalition Members.** Find out who is involved with the group and who leads it. See if you can meet with the group's leaders and eventually with the entire leadership hierarchy. Be frank about your stand on issues pertaining to the individual organization – this meeting is about building trust and there is nothing to be gained by less than full disclosure. But, at the same time, look for common ground and areas of agreement. Ask for the outright support of the group, if this is possible, although some groups may not (or may be legally unable to) support political candidates outright (however their leadership still may be in a position to endorse you).
- **Consider creating an advisory board or executive committee.** This creates a channel for groups to participate in the discussion and communicate with each other. Of course, it is also your vehicle to communicate with them. Members should be respected and influential representatives of groups; it also is important that these representatives participate in meetings consistently. Genuinely listen.
- **Recognize participants' contributions.** Appreciation goes a long way to motivate busy individuals to help with an effort. People like to feel important and feel their efforts make a difference. Different individuals and organizations will offer different resources and strengths. All contributions are important.

9 Stay in Contact. Create an email list of volunteers and coalition members and keep them posted on how the campaign is going and what remains to be accomplished. Solicit feedback.

10 Thank Everyone As Often As Possible. The knowledge that one's efforts are appreciated and making a difference is a powerful motivator – both for this campaign and future campaigns. Thank volunteers as often as possible. At the end of the campaign, win or lose, each volunteer should receive a personal thank you note from the candidate. This makes keeping track of volunteer contact information even more important.

CAMPAIGN PLAN NOTE

As you develop your campaign plan, there will be a heavy emphasis in the early weeks of your campaign on building your campaign organization, including:

- Identifying and recruiting the key members of your campaign team and consulting with them on campaign strategy.
- Scheduling meetings with potential coalition members. Subsequent weeks will be devoted to volunteer recruitment and management – applying the talents of the volunteers to the tasks that have been identified for voter contact and fundraising. On election day and after, spend time thinking about how you will thank members of your campaign organization (starting ideally with your victory speech). Providing some kind of personal thank you (email, note, phone calls) to those who invested time in your campaign is not only the right thing to do – it's an investment for the future.

NOTES:

VOTER CONTACT



The newest computer can merely compound, at speed, the oldest problem in the relations between human beings, and in the end the communicator will be confronted with the old problem, of what to say and how to say it.

Edward R. Murrow

TOP FIVE THINGS TO KNOW

1 Personal Contact is Key in Local Elections. In local elections, the degree to which one can achieve one-on-one communication of your key messages will play an important role in the success of the campaign. This is why having an effective field organization is so important. Personal contact enables the campaign to assess how well its messages are resonating with voters; this cannot happen with more one-way forms of communication (for example, direct mail or literature drops).

SURVEYS¹⁴ SAY...

- 92 percent of respondents want candidates to participate in public debates
- 94 percent want candidates to participate in forums where the public can question them directly

¹⁴ The poll was commissioned by the Institute for Global Ethics' Campaign Conduct Project and conducted by Lake Snell Perry & Assoc. and Deardourff/The Media Co. from June 6-11, 2002. Surveyed were 800 likely voters. The survey and has a sampling error of plus or minus 3.5 percent.

MECHANISMS FOR CONNECTING WITH VOTERS

Emphasize Interactive Forms of Communication. Research indicates that voters prefer debates and town hall meetings as the mechanism by which candidates deliver their messages.¹⁵ Include an interactive component to your website.

The Internet and Email. A candidate website is a way to give voters more of what they want, which is information about the candidate's position on issues. A website is also a resource for the media. Post information about candidate positions, the candidate's qualifications, media releases and how people can get involved in the campaign.

Websites are great ways to:

- Provide voters with opportunities to interact with the campaign (which signals a positive willingness to listen);
- Present tables contrasting your positions with those of your opponent(s), along with links to documentation;
- Get email addresses so you can provide those interested in your candidacy with updates on the progress of the campaigns, upcoming events, and get out the vote activities (be sure to ask permission to add someone to an email list).

Earned Media. Also known as press coverage, this is when newspapers, newsletters, radio and television cover events related to your campaign. Identify the media outlets that cover the area in which you are running, what audience each outlet reaches, who the key people are and how you can access the outlet. Pay particular attention to those outlets that reach your target audience. Develop a press kit with information about your candidacy and plan for a series of news releases and other media outreach activities as part of your campaign planning process.

Direct Mail. Mailings can be a way to persuade specific target audiences by tailoring messages to their concerns. A direct mailing is only as effective as the mailing list used to deliver it, however. Once the mailing reaches a member of the target audience, the next challenge is getting the recipient to read what you have sent. Headlines need to draw the reader into the text. Graphics and layout matter. Some local campaigns include a response form to identify volunteers and solicit contributions, as well as a return envelope.

Paid Media. Also known as paid advertising, this is when you pay a particular media outlet to carry your message to voters. The key in evaluating paid media as part of your campaign planning process is to analyze the cost-effectiveness of various kinds of paid media in terms of number of target voters reached, the cost of producing and placing the advertisement and the likely impact of the ad.

¹⁵ Lipsitz, Keena, *Summary of Research Findings: Voters Weigh-In on "Best Practices" in Campaigns* (2003) at 1.

2 Voter Contact Objectives. Put simply, there are two objectives for voter contact efforts:

- 1) To identify likely voters who support you and maintain their support; and
- 2) To persuade undecided voters to support you.



MIRROR TIME: THE ETHICS OF HIT PIECES, PARTICULAR LAST MINUTE ONES

First, let's look at the concept of a campaign "hit piece," which is a document in which one candidate criticizes another. Voters want truthful, relevant and fair information.¹⁶ Here is what one survey¹⁷ suggested are fair criticisms of one's opponent:

- An opponent's voting record (68 percent)
- Criticizing a candidate for talking one way and voting another (71 percent)
- An opponent's business practices (53 percent)
- Criticizing an opponent for accepting contributions from special interest groups (57 percent)
- Criticizing an opponent for not paying taxes on time (61 percent)

The following are examples of unfair criticisms:

- Criticizing the actions of an opponent's family (89 percent)
- Past troubles such as alcoholism or marijuana use (69 percent)
- Marital infidelity (57 percent)
- Past personal financial problems (81 percent)
- Financing your campaign yourself (76 percent)

Of course, in terms of truthfulness, avoid half-truths or twisting the facts to create a false impression. Back up factual claims with documentation.

In terms of timing, the last-minute nature of the hit piece will bear on the voters' perception of fairness, insofar as the target of the hit piece has little or no opportunity to respond. For this reason, the City of Sacramento's campaign conduct code includes a pledge by candidates to alert opponents eight days before they use their rivals' names in a mailer or other advertising.

¹⁶ Trost, Christine, *Summary of Research Findings: Key Findings and Analysis of Center for Campaign Leadership and Public Policy Institute of California Focus Groups* (2003) at 4.

¹⁷ The poll was commissioned by the Institute for Global Ethics' Campaign Conduct Project and conducted by Lake Snell Perry & Assoc. and Deardourff/The Media Co. from June 6-11, 2002. Surveyed were 800 likely voters. The survey and has a sampling error of plus or minus 3.5 percent.

Your campaign goal is to assemble a winning margin in the election. To do this, you need more votes than your fellow candidates. Identifying those likely voters who will vote for you and keeping them favorably inclined is one goal; another is to persuade those who are undecided to vote for you. Don't waste precious resources trying to change the minds of those who support someone else.

3 Develop a Tracking System. The campaign needs a workable system for identifying those likely voters who support the candidate and then making sure those voters do indeed vote. A volunteer with database skills can be helpful with this. The campaign will then need either door-to-door or phone canvassers to contact likely voters in areas likely to support your candidacy (door-to-door is more effective). Provide the canvassers with a script and recordkeeping tools to enable the campaign to enter the results of the canvas into the system.

4 Targeting Makes Best Use of Limited Resources. Most campaigns have limited resources, including candidate and volunteer time. The objective is to use those resources in areas that are most likely to advance your ultimate goal of winning the election. The targeting process involves closely analyzing each precinct for likely voters who are inclined to support a candidate like you. Some experts recommend a "percent-of-effort" targeting, in which the amount of resources match the amount of the total vote you can expect to receive from an area. Thus, if an area is likely to provide you with 25 percent of the vote you need, a rough guideline would be to allocate 25 percent of the candidate's time and other resources to that area. This kind of mechanical statistical analysis needs to be tempered, of course, with some degree of political judgment. However, it is a good starting place for planning.

5 Get Out the Vote (GOTV) Efforts. All the message development and voter contact activities don't matter if your supporters don't vote. Every campaign should have a GOTV plan, the implementation of which can (and should) begin well before Election Day. Each supporter should be contacted at least once, although two to three times is a better goal.



**BRIGHT IDEA:
GET OUT THE VOTE STRATEGIES**

The goal is to get your supporters to the polls or to turn in their absentee ballots. Mechanisms for accomplishing this include:

- Phone banks the week of the election reminding people to vote and to vote for you (provide a script for callers)
- Literature drops and door hangers on election morning
- Door-to-door visits both the weekend prior to the election and on election day for those who have not yet voted
- Direct mail pieces with your campaign theme and a reminder to vote

Remind your supporters where their polling place is (and polling place hours) in these communications and do whatever you can to make it possible for them to go vote. Offer maps to polling places, rides and babysitting services, if possible. Don't worry about contacting your supporters "too often"; typically the worst that happens is they tell you that they will not vote (rarely will they go and vote for someone else).



**CHECKLIST OF
ELEMENTS FOR
A GOTV PLAN**

- ✓ Number of voters needed to win
- ✓ Number of voters targeted in GOTV effort
- ✓ GOTV strategies/ mechanisms to turn out your voters
- ✓ Groups that you will look to help turn out your voters
- ✓ Number of volunteers you will need to implement your plan
- ✓ The way in which these volunteers will be recruited
- ✓ The money you will spend on your GOTV efforts
- ✓ The materials and supplies you will need

CAMPAIGN PLAN NOTE

- **Early.** As you develop your campaign plan, the early weeks of your campaign will focus on identifying your target likely voters and researching their concerns. The next task is to develop your campaign theme and positions on priority issues – in essence, the substance of your voter contact communications.
- **Middle.** Once that has occurred, the campaign’s focus will turn to identifying likely supporters and undecideds. During the ensuing weeks, much of the campaign’s efforts and activities will be focused on persuading the undecideds.
- **End.** During the last weeks of the campaign, the activities will focus on getting those who are likely supporters to vote (either absentee or at the polls) and further persuasive efforts needed to achieve the necessary margin for victory.

FUNDRAISING



The secret of getting ahead is getting started.

Mark Twain

A reputation for good judgment, for fair dealing, for truth, and for rectitude, is itself a fortune.

Henry Ward Beecher

TOP NINE THINGS TO KNOW

1 It Starts with a Plan. Effective and successful fundraising requires a plan, based on a campaign budget and a timeline that specifies when what amounts of money must be raised to meet the campaign's cash flow requirements. One way to figure out what you will need for the campaign overall is to check the reports of those who have campaigned in the past for the office you seek. Fundraising is too important to be left to happenstance.

2 No One Will Give Unless Asked. A veteran congressional fundraiser observed that the effective fundraiser is one who will ask ten more people for money after having asked ten people for money and been turned down by nine. Moreover, knowing what donors have given to other candidates can assist in deciding how much to ask for. Some recommend going 20 percent above what one might reasonably expect a donor to give based on past history; the donor will sometimes give somewhere between past amounts and the amount requested.

¹⁸ The poll was commissioned by the Institute for Global Ethics' Campaign Conduct Project and conducted by Lake Snell Perry & Assoc. and Deardourff/The Media Co. from April 25, and May 1, 2000. Surveyed were 600 political donors, including 200 who contributed \$200-\$500 to a candidate, 200 who contributes \$500 plus to a candidate and 100 business Political Action Committees (PACs), 50 donors to labor PACs and 50 donors to trial lawyers PACs. The survey and has a sampling error of plus or minus 4 percent.

SURVEYS¹⁸ SAY...

Donors Care about Campaign Techniques

- 76 percent of donors say negative, attack-oriented campaigns are wrong
- 60 percent say ethics and values in campaigns have worsened in the past 20 years
- 54 percent say candidates twist the truth
- 48 percent say they would be more likely to contribute to a candidate agreeing to a code of conduct

Donors also have strong trust in elected official's inclination to do what is right. Some 64 percent of donors *disagreed* with the statement that elected officials cannot be trusted to do what is right, while 70 percent of the public agrees with the statement.

3 The Candidate is the Most Effective Fundraiser. Most large contributors expect a direct appeal from the candidate him or herself, usually in person.

CLOSING TECHNIQUES¹⁹

1. **JUST ASK:** The meeting is going well. Make your move!
Mr. Jones, can I count on your contribution of \$XXX? (Hint: always ask high)
2. **THE PROSPECT CLOSES:** You can assume from the conversation that the meeting is going well and that the prospect will contribute.
3. **THE EITHER – OR CLOSE:** The meeting has gone well, but you don't feel that the prospect will give now, so you give them the option of "will you give or will you give?"
Ms. Jones, would I be able to count on your contribution today or should we expect to see a check from you by Friday?
4. **THE HALF-NELSON CLOSE:** A very effective method, you basically feel the prospect out for what he feels is important, then you emphasize your position on those issues. Basically, they will contribute to you if you see eye-to-eye.
Ms. Jones, with your support, I can tackle the environmental issues we both care about so deeply.
5. **THE BEN FRANKLIN CLOSE:** If a major donor prospect is hesitant about supporting you, follow up the meeting with a letter, thanking them for their time. The letter should include a comparison as to why they should support you and not your opponent. Seeing the facts on paper might bring them around to your team.
6. **THE THIRD-PARTY REFERENCE:** The prospect may want to know who else has given you money, thus establishing your credibility. Be ready to list someone whom they may know, or know of, and respect.
7. **THE LOST SALE CLOSE:** After what appears to be the final rejection, question the prospect as to why you have failed. In short, ask the prospect why they will not support you. A "No, because..." is better than a "No, never!"
Candidate: Since I don't want to make this mistake again, Mr. Jones, could your please tell me where I went wrong?
Mr. Jones: Well, it was your lack of support for businesses in the last session.
Candidate: Is that it...?

Continued on next page

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CLOSING TECHNIQUES, CONTINUED

8. **THE PROCESS OF ELIMINATION CLOSE:** This close is for the prospect who will not tell you their reasons for not supporting you. It requires the candidate to get the prospect in the habit of saying “No”. In the process of elimination, “No” comes to mean “Yes!”

Candidate: I feel like there must be something I haven't made clear to you, Mr. Jones. Can you tell me what it is that you are uncertain about? Is it my stance on education?

Prospect: No. I agree with you there.

Candidate: Well, maybe its my background and qualifications your are worried about?

Prospect: No, I believe you are qualified for the office.

In the end the prospect admits that everything is OK, or they reveal their genuine objections. You can then work on the close by satisfying their concerns.

9. **THE “I’LL THINK IT OVER” CLOSE:** “I’ll think it over” is the most powerful weapon used by the prospect because you never know if it means yes, no or maybe.

Prospect: I’ll think it over.

Candidate: Thank you Ms. Jones, I am delighted that you would consider supporting me.

Prospect: Great, I’ll get back to you later in the week.

Candidate: So that you have all the facts while I’m still here, perhaps you could tell me what I haven’t satisfied you about. Is it my stance on property taxes?

And now you are back to the PROCESS OF ELIMINATION CLOSE.

10. **THE FINAL OBJECTION CLOSE:** The objective is to obtain the prospect’s agreement that there is only one reason for not supporting you, whatever that reason may be. Make sure you know the reason, then listen very carefully to the reasoning behind the reason. Then make sure that this is the only objection.

Prospect: I’m sorry, but I just don’t agree with you on the _____ issue. I can’t help you.

Candidate: Just to make sure that I understand your point and so that I can see why it outweighs everything else that we agree on, could we discuss the matter?

Prospect: Well, your opponent and I see eye-to-eye on this one...

Candidate: I know this is all we disagree on. I am in total support of your tax package, your views on education...

Even if the prospect sticks to their objection, they have now admitted that they like you except for one reason. Now you go into the HALF NELSON.



BRIGHT IDEA: ROLE PLAYING

If the candidate or volunteers are new to fundraising or are uncomfortable doing so, run through some mock meetings or phone calls with potential donors, or both. Develop an outline of key points that should be made, including:

- The campaign's key messages;
- Which respected organizations or individuals have endorsed or contributed to the candidate, or both;
- What kinds of campaign activities the donation will support (based on the campaign budget);
- The amount being requested; and
- A request for references to others who might contribute.

Materials to take to a meeting include the campaign plan and budget, the candidate's biography and positions on key issues, and pledge envelopes with blanks for the required campaign reporting information.



MIRROR TIME: WHAT IF THE DONOR INDICATES HE/SHE EXPECTS SOMETHING IN RETURN?

The last thing you want is for a contributor to think that his or her contribution controls your decision-making, even on a single issue, once you are elected. Your duty as an elected official is to act in the best interests of the community as a whole, not to reward those who supported you, even if that support was critical to your election.

The key is to make it clear that what a contributor is supporting is a person who will always exercise his or her best judgment about what's best for the community – someone who will serve the public with integrity and conscientiousness. If you get the sense a potential donor is expecting a specific return on his investment in your candidacy, don't take the contribution or, if the contribution has already been received, return it with your thanks but no thanks.

4 Create a Finance Committee. A diverse group of supporters who can expand the number of potential donor prospects for the campaign can be very helpful. Committee members can use their contacts to set up meetings with large prospective donors; they can also host fundraising events and get others to do so. The joint nature of the enterprise creates a mutual accountability and even a little friendly competition. Periodic reports (via email) and meetings to assess progress will keep the effort on track. Such meetings are also an opportunity for the candidate to express his or her appreciation for what committee members are doing.

5 Whom to Ask? Your friends, family, co-workers, professional associates, members of groups to which you belong, those who contributed to previous campaigns of like-minded candidates, those who support your positions on the issues (or strongly oppose your opponents' positions), and even those who contribute to your opponent. Prepare a list of potential donors, their contact information, people on the campaign who know them and their previous giving history. Track contacts with the donor and follow-up activities. Prioritize by those most likely to give, but contact everyone on the list nonetheless.

TIPS FOR APPROACHING A PROSPECT²⁰

- Do not be late
- Be optimistic
- Be aggressive
- Be sincere
- Be excited
- Be convincing –
BELIEVE IN YOURSELF
- Be flexible
- Don't lie or mislead
- Stay away from volatile issues
- Don't take the prospect or their money for granted
- Refer to "our community"
- Don't leave without a check
- Ask for names of other potential contributors

²⁰ Reprinted with the permission of the Sorensen Institute for Political Leadership at the University of Virginia (www.sorenseninstitute.org). Compiled from past Sorensen presenters Bev Shea, Carol Whitney, and Jean Jensen.

6 Show What the Contribution Buys. Sometimes known as the “dedicated gift,” ask potential donors to provide the cost of a specific item in the campaign budget (for example, lawn signs). Some people feel better about giving if they know exactly what their contribution buys. This also gives them a more tangible stake in the campaign’s activities.



CHECKLIST FOR MEETING WITH PROSPECTIVE DONORS

- ✓ If the candidate does not know the donor, consider bringing along a supporter who does.
- ✓ Explain why you need financial support. Bring the campaign plan and budget; be prepared to ask for a specific budget item amount based on the donor’s previous giving history.
- ✓ Bring information demonstrating why your campaign is destined for success.
- ✓ Ask for more than you might expect.
- ✓ If the prospect says yes, agree upon how/when the donation will be transmitted. Follow up.
- ✓ Once the donor has agreed to help, ask if he or she knows others who might be supportive.
- ✓ Thank the donor at the end of the meeting; follow up with a written acknowledgement shortly afterwards.

7 The Value of In-Kind Contributions. Every donated item represents money you do not have to spend and is just as good as the equivalent money raised. As you plan your campaign budget, for each expense item, ask whether someone might be in a position to donate the item.

8 The Importance of Thank Yous. The candidate should acknowledge every contribution, however modest, immediately. It is not just a courtesy, it is relationship-building that keeps the door open for future requests for assistance. Create a system to make sure donors are thanked for their support.



MIRROR TIME: THE CONTROVERSIAL DONOR

What about contributions from adult business owners, developers with project applications pending or others who might reflect poorly on the candidate and the campaign?

This is a variation on the donor who expects something in return. Voters are suspicious of a candidate whose campaign appears to have been bankrolled by those who have a stake in the candidate's future decisions as an elected official. Moreover, you can bet that your opponents will make an issue of such support in the campaign in an effort to undermine the voters' trust in you. This is where "good ethics is good politics."[®] Although such contributions may look like easy money, accepting them will cause more headaches for the campaign in the long run.

9 Fundraising Events. The key, no matter what, is to keep it simple and minimize costs. Don't limit yourself to either big or small ticket events; a variety will enable you to meet the expectations of a broad spectrum of the donor community. Do not underestimate the value of an intriguing location or activity, however. (An example might be a newly renovated historic home.) First, this attracts participants and second, it helps encourage people to show up; it is always a good idea to have strong attendance at fundraisers.



**BRIGHT IDEA:
FUNDRAISING ENVELOPES**

One item in a campaign budget should be contribution envelopes. Preprinted with the campaign (or the campaign treasurer's) address, they can assure that all the reporting information required by the state campaign reporting laws is collected. Envelopes can be included in any campaign mailings and carried by the candidate and volunteers to events.

COMPLYING WITH THE LAW*



The purpose of the law is to prevent the strong from always having their way.

Ovid

The life of the law has not been logic; it has been experience.

Oliver Wendell Holmes

It takes less time to do a thing right than to explain why you did it wrong.

Henry Wadsworth Longfellow

TOP TEN THINGS TO KNOW

1 It Takes Effort. It is a noble thing to run for public office – society benefits when committed and capable people use their talents to help make government work better. But a run for public office requires a commitment to learn and follow the rules governing candidates. Although the rules can sometimes be confusing and scary, hundreds or even thousands of people run for office every year without violating them – and you can too!

* By Karen Getman, Remcho, Johansen and Purcell, San Francisco. This section is adapted from an article by the author that originally appeared in *Latino Journal*.

2 Know and Comply with Basic Filing Deadlines and Requirements. You will need to comply with two separate sets of legal deadlines:

- One for filing candidacy papers, and
- One for filing campaign contribution and expenditure reports.

Know them, and keep track of them yourself. You can get copies of the election calendar relevant to the office for which you are running from your local clerk or registrar of voters. The state Fair Political Practices Commission's website (www.fppc.ca.gov) has a calendar of filing dates for campaign reports. However, local jurisdictions may have special election dates and special filing dates, so always check with your local clerk.

Failure to file complete candidacy papers on time can be fatal to your candidacy. Local officials have no authority to accept a late-filed Declaration of Intention or Declaration of Candidacy, or one that fails to meet the legal requirements. For example, both those documents require you to get signatures of support from registered voters in the district where you are running. In some cases, those voters must be from the same political party as you. There also are restrictions on who can collect those signatures for you – not everyone qualifies! Many potential candidates have been shocked when their nomination papers were rejected as invalid because some of the signatures were from non-residents, etc. If that happens and it is too late for you to fix the problem and turn in revised papers on time, you may be precluded from running for office.

If you make a mistake in filing your candidacy or nomination papers, consult with an attorney or advisor immediately to determine whether your reasons might persuade a court to order the clerk to accept your papers – an expensive and uncertain proposition.

If you make a mistake in filing your campaign reports, file an amendment as soon as possible. You will have to pay a late filing fee, and may be subject to a fine as well.

3 Know Your Filing Obligations Before Raising or Spending Any Campaign Funds. A common scenario: Jane, running in her first campaign for public office, uses her own money for flyers announcing a fundraiser. She gets a receipt, fully intending to seek reimbursement from her campaign funds. *But Jane may unwittingly have violated state law.*

All candidates must file a Form 501 – Candidate Intention Statement – prior to soliciting or spending any money for their campaign, including personal funds. The only exception is if you do not intend to solicit or receive contributions from anyone, and the only personal money you will spend is on the candidate filing fee or statement of qualifications in the ballot pamphlet, or both. If you intend to spend money on anything else – campaign signs, for example – or if you intend to ask anyone else for a contribution to your campaign, you must first file the Form 501. You can get the form from your local clerk or registrar’s office, or download it from the websites of the state Fair Political Practices Commission (www.fppc.ca.gov) or the Secretary of State (www.ss.ca.gov).

SUMMARY OF BASIC RULES

There are certain basic rules that everyone in your campaign, including you, should memorize:

- No cash contributions or expenditures of \$100 or more.
- No anonymous contributions of \$100 or more.
- Keep track of the name, address, and employer of all donors who contribute \$25 or more. (You’ll have to return contributions for which you don’t have the required information.)
- Keep copies of all contribution checks and all expenditure receipts and checks.
- Don’t use campaign funds for personal expenses.

If you are going to raise or spend \$1,000 or more on your campaign, you will qualify as a “campaign committee” under state law, and you must set up a bank account that will be used solely for campaign receipts and expenditures. All money – including your personal funds – first must be deposited in that account, and then withdrawn as needed to pay campaign expenses. This includes “petty cash” funds. The only exception is for personal funds spent on candidate filing fees and the fees for the statement of qualifications in the ballot pamphlet. This is rigid rule, but it serves a useful purpose in helping ensure candidates fully and accurately report all campaign contributions and expenditures. You’ll also need to file Form 410 – Statement of Organization – to provide notice that you have qualified as a campaign committee and set up a campaign bank account. It’s best to take the Form 410 with you to the bank when setting up your campaign bank account. These forms are available in the same places as the Form 501.

Even if you don’t intend to raise or spend \$1,000 or more, you will have to file a campaign disclosure report – the Form 470. This helps keep track of which candidates have campaign committees (with their extra reporting obligations), and which do not.

4 Learn and Follow the Basic Rules Governing Campaign Money. Your actions as a candidate are governed by the state Political Reform Act.²¹ There also may be local laws that apply to you. Certain counties (for example, Orange County), cities (for example, Los Angeles, San Francisco, San Diego) and special districts (for example, East Bay Municipal Utilities District) have their own campaign ordinances. Your campaign will need to comply with both state and local laws.

You are legally liable for everything your campaign committee does. Don’t rely solely on your advisors to know and follow the rules on raising and spending money. Ignorance is not an excuse if you are accused of a campaign violation.

Remember to check your local campaign ordinance for special rules, especially local limits on contributions.

²¹ Cal. Gov’t Code §§ 81000 and following. A copy can be downloaded from the website of the state Fair Political Practices Commission (www.fppc.ca.gov).

SPECIAL REQUIREMENTS ALERT

These are the most common events that trigger more complicated rules:

- Mailing more than 200 pieces of campaign literature.
- Sending a written solicitation for campaign contributions.
- Having a fundraiser at someone's home.
- Receiving \$5,000 or more from a single contributor.
- Receiving \$1,000 or more from a single contributor in the last 16 days prior to the election (see discussion below).
- Contributions made by money order or cashier's check.
- In-kind contributions (e.g., volunteer personal services, free printing, etc.).
- Payments made by someone to other vendors on your behalf.
- Using campaign money for tickets, automobile expenses or clothing.

5 Be Alert to which Events Trigger Special, More Complicated Requirements. In addition to knowing the basic rules yourself, make sure you and your campaign treasurer and manager understand what types of events trigger more complicated rules. If one of those events seems likely to occur, get help from someone knowledgeable.

6 Insist That Your Campaign Treasurer Learn The Rules For Campaign Accounting. Many first-time candidates use volunteers as their campaign treasurers. It's not like balancing your checkbook, however; there are special accounting rules that apply. You wouldn't let your Aunt Ida file your business tax returns without prior experience; don't let her file your campaign reports without becoming familiar with the reporting laws.

Insist that the person serving as your treasurer read the Campaign Disclosure Manual available from the state Fair Political Practices Commission (www.fppc.ca.gov). If possible attend an FPPC training seminar, or one put on by your local jurisdiction.

The FPPC publishes fact sheets and manuals on special topics, such as the identification requirements for campaign mailings; the rules for reporting accrued expenses; information that must be provided to “major donors”; and the duties and liabilities of campaign treasurers. The FPPC also has a toll free telephone advice line (888-ASK-FPPC) and can provide answers to many of your reporting questions.

Professional treasurers, campaign consultants and other campaign professionals also are a good source of information. If your campaign will involve significant sums of money, be especially contentious or involve fairly complicated transactions, you may want to consider consulting with an attorney knowledgeable in this area.

And don’t forget – the treasurer must file your campaign reports on time, and in the right place.

7 Be Especially Vigilant With Late Contribution Reports. Because late contributions can help turn the tide in an election, the public must be notified of them immediately. During the last 16 days before an election, you must file a special report *within 24 hours* of receiving \$1,000 or more from a single source. The report should be filed on the Form 497, available from your local filing officer, or from the websites of the FPPC and the Secretary of State. The FPPC reacts very harshly to candidates, even first-time candidates, who fail to file late-contribution reports on time.



MIRROR TIME:

DOES A VIOLATION OF CAMPAIGN LAWS EQUATE TO AN ETHICAL LAPSE?

Strictly speaking, the answer is not always. Candidates may inadvertently violate the law, even if they have the best of intentions, simply because there are so many rules that govern running for office.

This being said, it is absolutely true that if something feels like an ethical violation, it is likely to be a legal violation. If your gut tells you something is wrong with what you are contemplating, pay heed – you may wind up with a losing campaign and a costly legal battle to defend yourself against an enforcement action.

8 Don't Forget To File The Conflict Of Interest Disclosure Form. Almost all candidates for local office, and all candidates for state office, have to file a Form 700 – Statement of Economic Interests. The form usually is due no later than the final filing date for the Declaration of Candidacy. The rules for what to disclose, and how to disclose it, are somewhat complicated and not always intuitive. Read the directions for the form carefully.

In recent years, the FPPC has taken greater interest in enforcing the rules on timely filing of the Form 700. File yours on time, and if you realize that you've made a mistake, file an amendment as soon as possible.

HELPFUL RESOURCE ON FILING STATEMENTS OF ECONOMIC INTERESTS

Especially if this is the first time you've filled out such a form, download and read the FPPC's booklet entitled "*Your Duty to File: A Basic Overview of State Economic Disclosure Law and Reporting Requirements for Public Officials.*"

You can call the FPPC's toll-free hotline (1-888-ASK-FPPC) if you have questions on how to fill out the form.

9 Keep Accurate And Complete Records. All campaign committees are subject to audit. Moreover, if there are questions about the accuracy or legality of your reports, you'll need to document all your monetary transactions. As a general rule, all original source documents relating to your campaign must be kept for 4 years. (If you received contributions from "affiliated entities," the documents must be kept for 5 years.)

10 **Don't Be Too Quick To Close Your Campaign Bank Account Or Terminate Your Campaign Committee.**

Candidates who fail in their run for office often want to close their accounts quickly and put the experience behind them. But a certain percentage of local campaign committees are subject to random audit by the FPPC every year, and the audit results may require amendment of your campaign reports. Even more likely, there may be a bill you forgot to pay, or a refund due you – many cities and counties make a partial refund of the candidate filing fee, for example, but not until weeks after the election. If this happens and you have already closed your campaign bank account, these small items can become a big headache!

If you succeed in your run for office, you oftentimes can use leftover campaign funds to help pay for officeholder expenses.

CONCLUSION: ETHICS AND POLITICAL CAMPAIGNS



We will never have peace in the world until [people] everywhere recognize that ends are not cut off from the means, because the means represent the idea in the making, and the end in process, and ultimately you cannot reach good ends through evil means, because the means represent the seed and the end represents the tree.

Martin Luther King, Jr.

The ship of Democracy, which has weathered many storms, may sink through the mutiny of those on board.

Grover Cleveland

Necessity is not a fact; it's an interpretation.

Friedrich Nietzsche

TOP FIVE THINGS TO KNOW

1 **What Constitutes “Ethical Campaigning?”** Asking voters to support you based on your substantive positions on the policy issues facing the community. Treating your fellow candidates with honesty, compassion and respect, avoiding personal attacks or mischaracterizations of their positions for political advantage. Being honest about your views and what you will do and the kinds of decisions you will make should you be elected. Using campaign methods that meaningfully engage the public about the policy issues facing the community.

2 Ethical Campaigners Win. Studies show that unethical campaign techniques run a significant risk of backfiring against the candidate who uses them. The public wants ethical campaigns.

3 Ethical Campaigns Promote Support for Government. Messages that denigrate government and those who serve in government reinforce negative public perceptions about government - perceptions that do not disappear once one goes from candidate to elected official. Conversely, campaign strategies that engage the public in meaningful debate and dialogue about community issues (for example, precinct walking, debates and town hall meetings), educate the community about the issues of the day.

4 Guilt by Association. Ethical campaigning includes more than candidate conduct. Truly unethical campaign strategies include such things as third party mailings and supporter communications (including “whispering campaigns”). Ethical campaigners surround themselves with like-minded individuals and are vigorous about what kinds of conduct they do and do not approve.

5 Creating an Ethical Campaign Environment. Half of the battle is creating an environment in which ethical campaigning is expected. Ways to accomplish this include a series of candidate forums in which the goal of an ethical campaign is discussed and then follow-up conversations about whether the candidates did indeed walk the talk. The community and media can also be constructively engaged in holding candidates accountable for abiding by their commitment to conduct ethical campaigns.

RESOURCES FOR FURTHER REFERENCE



BOOKS

Beaudry, Ann and Schaffer, Bob, *Winning Local and State Elections: The Guide to Organizing Your Campaign* (The Free Press: New York) 1986.

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Moffit, Mary Anne, *Campaign Strategies and Message Design: A Practitioner's Guide from Start to Finish* (Praeger Publishers: Connecticut) 2001.

Shea, Daniel M. and Burton, Michael John, *Campaign Craft: The Strategies, Tactics, and Art of Political Campaign Management* (Revised and Expanded Edition) (Praeger Publishers: Connecticut) 2001.

PERIODICALS/ARTICLES

Campaigns & Elections magazine (see order form for information on back issues and reprints)

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- *Writing Your Campaign Plan: The seven components of winning an election*
- *Advances in Polling: Lifestyle Clustering Targeting*

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- *The Political Pages: A complete directory of the political consultants in the U.S. broken down by area of specialty.*

FEBRUARY 2004

- *Ten Secrets for a Successful Political Fund-raiser*
- *Buyer's Guide: Fundraising*
- *Seven Action Tips for Successfully Wooing Hispanic Voters*

DECEMBER 2003/ JANUARY 2004*

- *Getting the Fundraising Letter Written Right*

OCTOBER 2003/ NOVEMBER 2003

- *Using Speeches to Gain Voters' Trust: Why What You Say Is Not Always as Important as How You Say It*

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- *Public Opinion Polling: Answering Common Criticisms*

AUGUST 2003*

- *Computer Technology and Getting Out the Vote*
- *Consultant Q&A: Political Telephone Services*

JULY 2003*

- *Early Voting: How It's Changing Campaign Strategies, Timing and Costs*
- *Advice for First-Time Campaign Managers*

JUNE 2003

- *The Town Hall Meeting: A Useful Model for '04*
- *Ten Common Mistakes Novice Candidates Make*
- *Consultant Q&A: The Nation's Two Hottest Media Consultants Talk About Campaign Advertising*

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- *Lessons from Losing*
- *Announcing Your Candidacy: Checklist For a Successful Campaign Kickoff*

APRIL 2003

- *The Role of Campaign Volunteers: Overlooked or Understated?*
- *Brand Marketing in Today's Cluttered Political Marketplace*
- *Fundraising Lessons*
- *Saying "Thank You" to Donors*
- *Is There Too Little Money in Campaigns?*
- *Online Fundraising and the Democratic Party*
- *Consultant Q&A: Fundraising*
- *Electronic Campaign Donations*

WEBSITES

Center for Campaign Leadership (<http://campaigns.berkeley.edu/>) (includes research on voter attitudes towards various campaign practices, including electronic versions of many of the papers cited in these materials).

Project on Campaign Conduct (<http://www.campaignconduct.org>) (includes information about codes of campaign conduct—a project of the Institute for Global Ethics).

www.localvictory.com (archives include a number of short, easy-to-read articles about campaign practices).

Center for Communication and Civic Engagement (<http://depts.washington.edu/ccce/civicingagement/digitalelections.html>) — interesting research on the use of the Internet in campaigns with a focus on presidential campaigns).



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CALIFORNIA CODE OF FAIR CAMPAIGN PRACTICES

There are basic principles of decency, honesty, and fair play which every candidate for public office in the State of California has a moral obligation to observe and uphold, in order that, after vigorously contested, but fairly conducted campaigns, our citizens may exercise their constitutional right to a free and untrammelled choice and the will of the people may be fully and clearly expressed on the issues.

THEREFORE:

(1) I SHALL CONDUCT my campaign openly and publicly, discussing the issues as I see them, presenting my record and policies with sincerity and frankness, and criticizing without fear or favor the record and policies of my opponents or political parties which merit such criticism.

(2) I SHALL NOT USE OR PERMIT the use of character defamation, whispering campaigns, libel, slander, or scurrilous attacks on any candidate or his or her personal or family life.

(3) I SHALL NOT USE OR PERMIT any appeal to negative prejudice based on race, sex, religion, national origin, physical health status, or age.

(4) I SHALL NOT USE OR PERMIT any dishonest or unethical practice which tends to corrupt or undermine our American system of free elections, or which hampers or prevents the full and free expression of the will of the voters including acts intended to hinder or prevent any eligible person from registering to vote, enrolling to vote, or voting.

(5) I SHALL NOT coerce election help or campaign contributions for myself or for any other candidate from my employees.

(6) I SHALL IMMEDIATELY AND PUBLICLY REPUDIATE support deriving from any individual or group which resorts, on behalf of my candidacy or in opposition to that of my opponent, to the methods and tactics which I condemn. I shall accept responsibility to take firm action against any subordinate who violates any provision of this code or the laws governing elections.

(7) I SHALL DEFEND AND UPHOLD the right of every qualified American voter to full and equal participation in the electoral process.

I, the undersigned, candidate for election to public office in the State of California or treasurer or chairperson of a committee making any independent expenditures, hereby voluntarily endorse, subscribe to, and solemnly pledge myself to conduct my campaign in accordance with the above principles and practices.

_____ Date _____ Signature

AMERICAN ASSOCIATION OF POLITICAL CONSULTANTS CODE OF PROFESSIONAL ETHICS

As a member of the American Association of Political Consultants, I believe there are certain standards of practice that I must maintain. I, therefore, pledge to adhere to the following Code of Ethics:

I will not indulge in any activity that would corrupt or degrade the practice of political campaigning.

I will treat my colleagues and clients with respect and never intentionally injure their professional or personal reputations.

I will respect the confidence of my clients and not reveal confidential or privileged information obtained during our professional relationship.

I will use no appeal to voters which is based on racism, sexism, religious intolerance or any form of unlawful discrimination and will condemn those who use such practices. In turn, I will work for equal voting rights and privileges for all citizens.

I will refrain from false or misleading attacks on an opponent or a member of his or her family and will do everything in my power to prevent others from using such tactics.

I will document accurately and fully any criticism of an opponent or his or her record.

I will be honest in my relationship with the news media and candidly answer questions when I have the authority to do so.

I will use any funds I receive from my clients, or on behalf of my clients, only for those purposes invoiced in writing.

I will not support any individual or organization that resorts to practices forbidden by this Code.

Available at www.theaapc.org.

CAMPAIGN PLAN CHECKLIST

The goals of the campaign planning process are to make sure necessary tasks are accomplished within the campaign's resources (and to enable the campaign to identify the need for additional resources and build the process of securing those resources into the campaign plan).

- ✓ Calculate the number of weeks between now and the election, prepare a chart indicating each week (see example on page 53).
- ✓ Determine (realistically) how much time the candidate has to devote to the campaign each week (and how many hours the candidate will have over the entire campaign).
- ✓ Do a rough calculation of how long each activity will take (for example, each meeting with a major potential donor will take an hour) or what can be accomplished in an hour (each volunteer can make five voter contacts walking door-to-door or each phone bank volunteer can make 10 voter contacts in an hour).
- ✓ **For each week, determine:**
 - Which campaign organizational activities need to be accomplished? How many hours will this require?
 - What campaign messaging activities will need to occur? How long will this take?
 - Which voter contact activities need to occur? What are the goals? How many hours of candidate volunteer time will this require?
 - Which fundraising activities must happen? What are the goals? How many hours of candidate or volunteer time will this take?
 - Whether there are legal requirements with which the campaign must comply.
 - Whether the hours estimated for the identified activities that week match the number of hours available to the campaign. What adjustments must be made?

✓ **First quarter activities:**

- Assemble your campaign team
- Research issues, voting patterns, demographics and potential coalition members
- Prioritize issues and developing positions on priority issues
- Develop your campaign theme
- Develop overall campaign strategies
- Develop a campaign budget
- Take the steps necessary to get your name on the ballot
- Begin securing endorsements
- Hold campaign kick-off event
- Purchase necessary equipment and supplies (campaign stationery, computer and software, signage and literature)
- Create a campaign calendar

✓ **Second and third quarter activities:**

- Focus on target voters
- Identify supporters
- Continue securing formal endorsements
- Conduct voter contact activities designed to increase name identification and persuade undecideds, with a particular emphasis on interactive forums (debates, town hall meetings) and personal contact (“meet the candidate” events, meetings with relevant groups, etc.)
- Meet with potential large contributors
- Hold fundraising events aimed at smaller contributors
- Keep volunteers and coalition members posted on campaign progress at regular intervals

✓ **Fourth quarter activities (including Election Day):**

- Implement Get-Out-the-Vote strategy
- Complete voter contact activities, including any paid media
- Plan election eve party, including victory and concession speeches
- Thank volunteers, donors and campaign staff for their help

CAMPAIGN PLANNING MATRIX

See instructions on page 51.

Type of Activity	Specific Tasks	Goals	Time Involved				
			Candidate	Manager	Volunteer Coordinator	Fundraising Chair	Volunteers
Week _____							
Campaign Organization							
Messaging							
Voter Contact							
Fundraising							
Legal Compliance							
Other							
Totals							
Week _____							
Campaign Organization							
Messaging							
Voter Contact							
Fundraising							
Legal Compliance							
Other							
Totals							
Week _____							
Campaign Organization							
Messaging							
Voter Contact							
Fundraising							
Legal Compliance							
Other							
Totals							
Week _____							
Campaign Organization							
Messaging							
Voter Contact							
Fundraising							
Legal Compliance							
Other							
Totals							

CAMPAIGN PLANNING MATRIX

Type of Activity	Specific Tasks	Goals	Time Involved				
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Week _____							
Campaign Organization							
Messaging							
Voter Contact							
Fundraising							
Legal Compliance							
Other							
Totals							
Week _____							
Campaign Organization							
Messaging							
Voter Contact							
Fundraising							
Legal Compliance							
Other							
Totals							
Intervening weeks prior to election.							
Week _____							
Campaign Organization							
Messaging							
Voter Contact							
Fundraising							
Legal Compliance							
Other							
Totals							
Election Week							
Campaign Organization							
Messaging	<i>Write victory/concession speeches</i>						
Voter Contact	<i>Implement GOTV plan</i>						
Fundraising							
Legal Compliance							
Other							
Totals							

Intervening weeks prior to election.



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