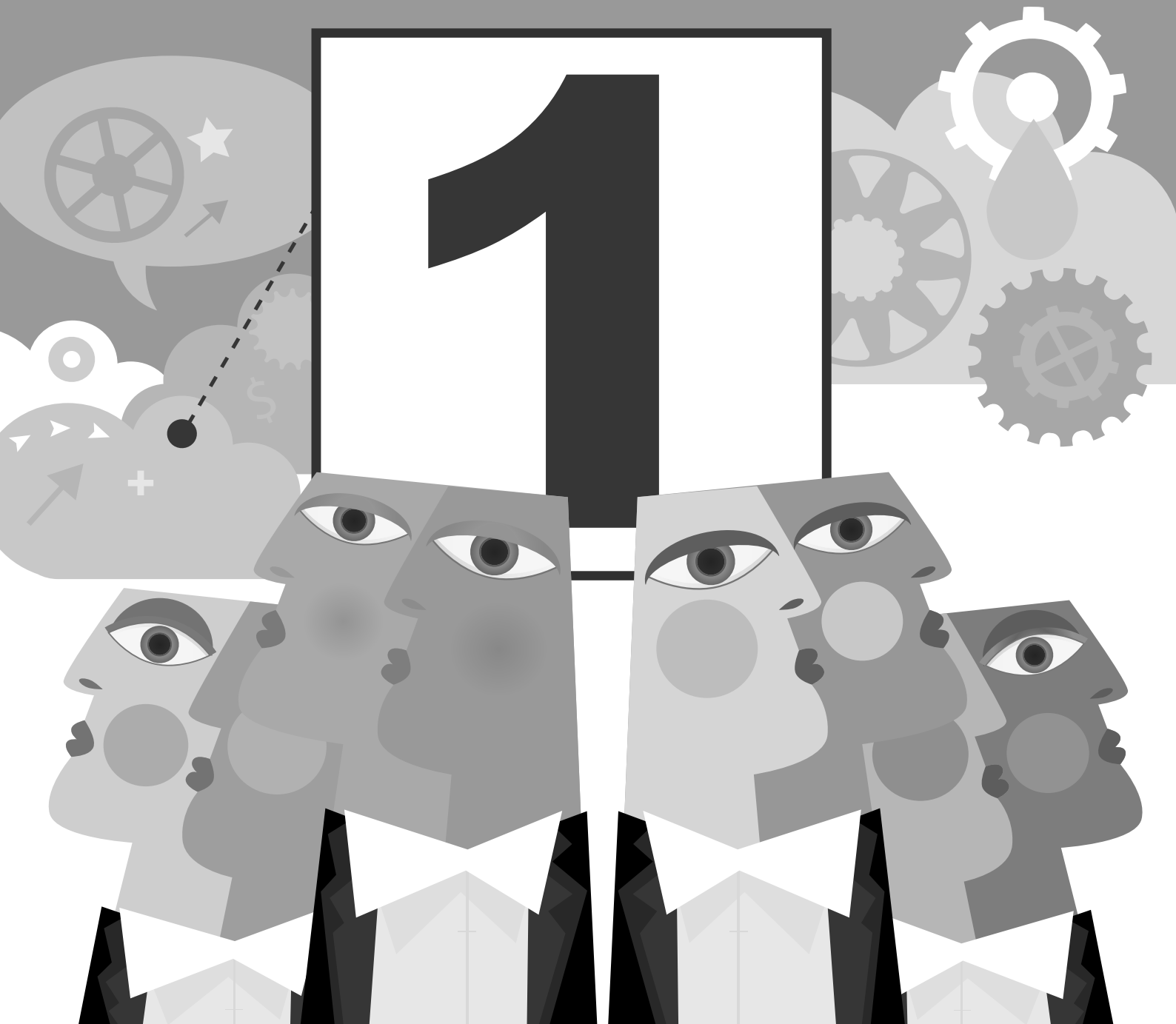


New South Wales Electoral Commission

# Annual Report 2014-15



# Contents



30 October 2015

The Hon Michael Baird MP  
Premier  
52 Martin Place  
SYDNEY NSW 2000

Dear Premier

On behalf of the New South Wales Electoral Commission and the New South Wales Electoral Commission Staff Agency, I am pleased to submit our Annual Report for the financial year ended 30 June 2015.

This Report is presented in accordance with the requirements of the *Annual Reports (Departments) Act 1985* and the *Public Finance and Audit Act 1983*.

The Report details our operations and activities and includes the conduct of elections held during the year, as well as the services we have provided to registered clubs, statutory boards, industrial organisations and other assistance to electoral authorities. We also outline our conduct of the 2015 State General Election and the legislative changes which saw the expanded role for the New South Wales Electoral Commission.

As per memorandum M2013-09, the Annual Report was produced in-house eliminating any external production costs.

Yours sincerely

The Hon Keith Mason AC QC  
**Chairperson, NSW Electoral Commission**

The NSW Electoral Commission (NSWEC)

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Office hours: Monday-Friday, 9:00am-5:00pm

Note: Throughout this Report, the terms iVote and SmartRoll are used to refer to the iVote system and the SmartRoll system respectively. Both iVote and SmartRoll are Registered trademarks of the NSW Electoral Commission.

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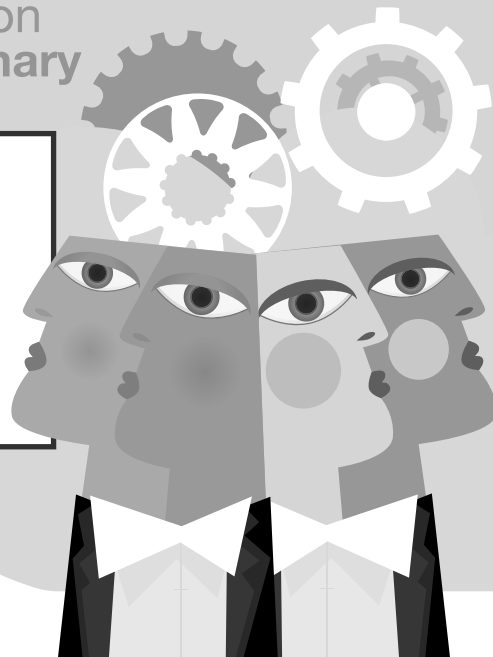
Letter of Transmittal

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Performance  
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About the Commission  
**Historical Summary**  
State General Election

**1**



► **PART 1**  
About the NSWEC

**This section provides the overview from the Chairperson, the Electoral Commissioner and the Chief Financial Officer. It also provides information about the NSW Electoral Commission and a snapshot of the Commission's performance in conducting State General Elections since 1995 and the highlights of the year 2014-15.**

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# The 2014-15 Year at a Glance

## 1. New Responsibilities Page 41

- Public funding for eligible political candidates and parties and enforcing compliance with legal requirements
- Lobbyists Register and Watch List and enforcing compliance with the *Lobbyist Code of Conduct*
- Reporting on donations received by political parties
- 20 matters referred to Crown Solicitor for prosecution action

## 2. Conduct of the 2015 State General Election Page 21

- Over 4.5 million electors voted, a 90.5% participation rate
- 2,800 plus polling places, employed 22,355 staff and printed 29 plus million ballot papers
- 86% of electors were satisfied with our services, 90% were confident about the accuracy of the election results and 89% saw the conduct of the election as impartial and fair

## 3. Aboriginal Recruitment Strategy Page 28

- 78% of participating State Electoral Districts meet or exceed employment targets
- Increased employment of Aboriginal officials by 48% and bilingual officials by 11% from 2011

## 4. Services for candidates and political parties Pages 35-36, 40

- Candidates (85.1%) and political parties (86.6%) satisfied with the conduct of the 2015 State General Election
- Introduced online registration of 'how-to-vote' materials from candidates and parties
- \$15.1 million paid to Candidates, Groups and Political Parties as per requirements
- December 2014 to June 2015, State registered parties reported donations of \$5,095,000 while Local Government parties reported donations of \$54,265

### How do we rate our performance?



## 5. Increased enrolment Page 23

- Between 2011 and 2015, SmartRoll increases enrolment rate above NSW population growth
- 5,040,622 people on electoral roll for 2015 State General Election
- Roll increased by 270,639 (6.3%) from 2011 State General Election

## 6. Delivering other elections Page 29

- Conducted 23 commercial elections, 9 Local Government by-elections and 2 State by-elections
- Earned \$1.2 million conducting other elections
- 142 of the 151 councils contract our services for the 2016 Local Government Elections

## 7. World leader in electronic voting Page 25, 34

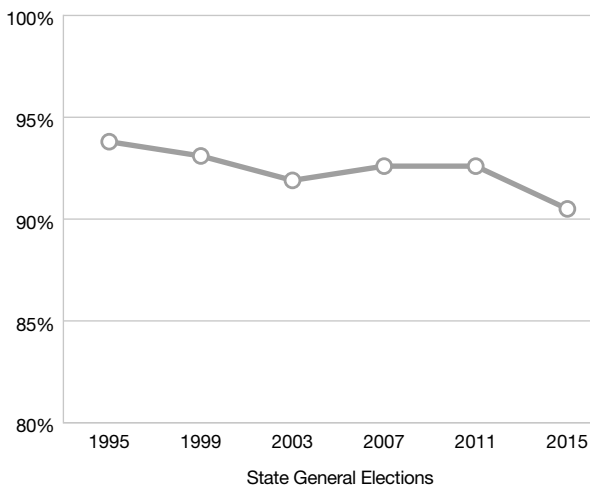
- 283,669 electors voted electronically in 2015
- Increase of over 233,000 from 2011 State General Election
- 96% of users satisfied with electronic voting

## 8. Financial performance Page 67

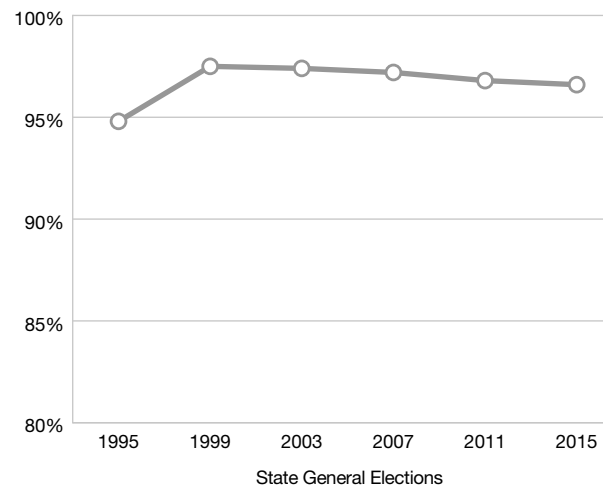
- Total expenses of \$100.6 million subsequently approved against an original budget of \$92.2 million
- Additional IT system support and quality control enhancements made up the extra, over budget cost
- Unmodified audit opinion from the Audit Office of NSW

# State General Elections – How did we do?

**Voting participation equals or exceeds previous general elections, Legislative Assembly.**



**Voting formality rates equal or exceeds previous general elections, Legislative Assembly.**



## MEASURE

	2011	2015	Change
<b>Was the election conducted impartially?</b>			
• Electors	81%	89%	▲
• Candidates	89%	88%	▼
<b>Were the election results provided quickly enough?</b>			
• Electors	76%	86%	▲
• Candidates	84%	73%	▼
<b>Were our polling places satisfactory?</b>			
• All electors	89%	96%	▲
• Electors with a disability	N/A	96% <sup>1</sup>	–
<b>Was the election conducted satisfactorily overall?</b>			
• Electors	88%	86%	▼
• Candidates	78%	85%	▲
<b>Were voters satisfied with iVote (electronic voting)?</b>	91%	94%	▲
<b>Were there any successful court challenges to declared election results?</b>	NO	NO	✓

1. Question used for the first time 20 2015.

# Developing Democracy<sup>1</sup> – Elections

## Appointing the first Legislative Council, 1823

A Legislative Council of five appointed members was established in 1823 to advise the Governor. Council membership increased over the following years, however all members continued to be appointed by the Governor.

### Holding our first elections

Transportation of convicts ended in 1840. In 1842 the British Parliament passed *New South Wales' first Constitution Act*. The Act increased Legislative Council membership to 36. Twelve members were appointed by the Governor and the other two thirds were elected by land owners and householders who fulfilled property qualifications. The elections, the first ever in Australia, were held in 1843. The Governor, however, could dissolve the Council if it proposed a bill with which he disagreed.

### Becoming New South Wales

The state of New South Wales as we know it today was formed via the separation of other parts as these areas became States in their own right.

In 1850 the *Australian Colonies Government Act* was passed by the British Parliament. It expanded the Legislative Council so that by 1851 there were 54 members – again, with two-thirds elected.

### Forming a bicameral Parliament

From 1856, following revision of the *Constitution Act 1855*, a new Parliament, with an Upper and Lower House, was formed. The Upper House (Legislative Council) consisted of no fewer than 21 Members nominated by the Governor on the advice of his Executive Council and initially appointed for five years and thereafter for life.

The Lower House (Legislative Assembly) comprised 54 men qualified and registered as voters. There were 34 electoral districts, 16 of which could return more than one member. Voters had to be men over 21 who met property or income requirements.

Until 1858, only landowners had the right to vote. The *Electoral Reform Act 1858* gave the right to vote in secret to almost every adult male in NSW. While electoral boundaries also changed in 1858 to better reflect the population, there were still huge disparities. A country vote was worth almost twice as much as a city vote.

Payment for being a Member of Parliament was introduced in 1889. Until 1893, elections took place over several days and were held at different times in different electorates and a candidate defeated in one electorate could run for another seat.

By the end of the century, the 21 Legislative Councillors had become 69, and the original 54 seats in the Legislative Assembly had become 125. In 1893 the principle of 'one man, one vote' was introduced.

### Following Federation

The colonies formed a single nation, a Federation, in 1901. The NSW Parliament resigned its control over defence, customs and excise, coinage, and postage, under the new Australian Constitution. Following a referendum, the NSW Legislative Assembly was reduced to 90 to take account of the narrower responsibilities.

### Gaining the right to vote

Women gained the right to vote in NSW State elections in July 1902. Women could not become Members of the Legislative Assembly until 1918 or Legislative Council Members until 1926. The first woman elected to the NSW Parliament, Millicent Preston-Stanley, served in the Legislative Assembly from 1925 to 1927. Catherine Green and Ellen Webster were the first women appointed to the Legislative Council, in 1931.

In 1962, all Aboriginal Australians gained the right to vote in all State and Federal elections. In 1984 voting became compulsory for all Australians.

### Finding a voting method

Initially, counting of votes for the Legislative Assembly used the first-past-the-post system where the winning candidate was the one with the largest number of votes. Compulsory preferential voting was introduced in 1928. In 1979, the system was modified to allow optional preferential, whereby a first preference only, or that and as many subsequent consecutive preferences as the voter chooses, could be shown by the voter.

### Reforming the Legislative Council

A referendum in 1933 created a Legislative Council of 60 members, to be elected by members of both Houses of Parliament, for a term of 12 years with 15 members retiring every three years.

The Legislative Council was reformed again in 1978 and reduced to 45 members elected on a state-wide basis by popular vote.

In 1991 the Council was further reduced to 42 members, each elected for an eight year term. Half of the Council Members (21) retire or stand for re-election at each General Election. The proportional system of voting used has meant that no single party has had a majority in the Council since 1988.

1. Based on information from the NSW Parliament's website.

# The NSW Electoral Commission

The New South Wales Electoral Commission (the Commission) is an independent, three person, statutory authority established under the *Parliamentary Electorates and Elections Act 1912*. The NSW Electoral Commissioner is appointed by the Governor of NSW and is a member of the three person statutory authority.

The Commission, for the purpose of employing staff to enable the Statutory Authority and the Electoral Commissioner to perform legislated functions, is a public service agency under the *Government Sector Employment Act 2013*. The Electoral Commissioner is the head of this public service agency.

## Our Mission, Vision and Values

Our Mission, Vision and Values guide our organisation's strategies and provide a foundation for our culture.

### Our Mission

- To deliver high quality electoral services which are impartial, effective, efficient and in accordance with the law.

### Our Vision

- To foster a culture of integrity, respect and trust in the electoral administration that underpins the democratic process.

### Our Values

Our values underpin our culture, our services to stakeholders and our performance:

- Integrity in the way we work;
- Impartiality in service provision to maintain the confidence of stakeholders and the community and to uphold the democratic nature of the NSW electoral system;
- Uphold the principle of equal access to democracy for all NSW citizens;
- Professionalism in providing electoral services regardless of size or nature of event; and
- A learning culture amongst our staff to ensure we improve service delivery and remain modern, forward thinking and capable of meeting future challenges.

## What we do

- Conduct elections and by-elections for the Parliament of NSW;
- Conduct elections for those Local Government councils who request our services;
- Conduct elections for registered clubs, statutory boards, the Aboriginal Land Council and state registered industrial organisations;
- Prepare the NSW electoral roll in conjunction with the Australian Electoral Commission;

- Administer electoral funding legislation, including maintaining a scheme of public funding;
- Provide advice to the Premier on issues affecting the conduct of State elections and by-elections, including issues requiring legislative remedy;
- Contribute to public understanding and awareness of elections and electoral matters; and
- Report to the NSW Parliament on the Commission's activities.

## Our history

The Commission has its roots in the development of representative government dating back to 1843 when the first election of 24 representatives to the NSW Council was conducted by the Elections Branch in the Chief Secretary's Department. In 1928 the office of Electoral Commissioner was established pursuant to the *Parliamentary Electorates and Elections Act 1912*. The office continues to this day, with the Electoral Commissioner appointed as a statutory officer. Remarkably, since 1927 there have only been 11 Electoral Commissioners, as outlined below. The 'Developing Democracy' snapshot outlines key electoral changes in NSW since its foundation.

**Figure 1 – NSW Electoral Commissioners from 1927 to present**

NAME OF ELECTORAL COMMISSIONER	PERIOD OF OFFICE
E.B. Harkness	1927
D.S. Edwards	1930
H.V. Gould	1935
Edward Bennetts	1947
J.M.O. McDonnell	1962
C.W. Prince	1972 – 1974
W.R. Cundy	1974 – 1982
A.L. Barnett	1982 – 1984
E.I. Dickson	1984 – 1999
John Wasson	1999 – 2004
Colin Barry	2004 – Present

# Foreword by the Chairperson of the Electoral Commission



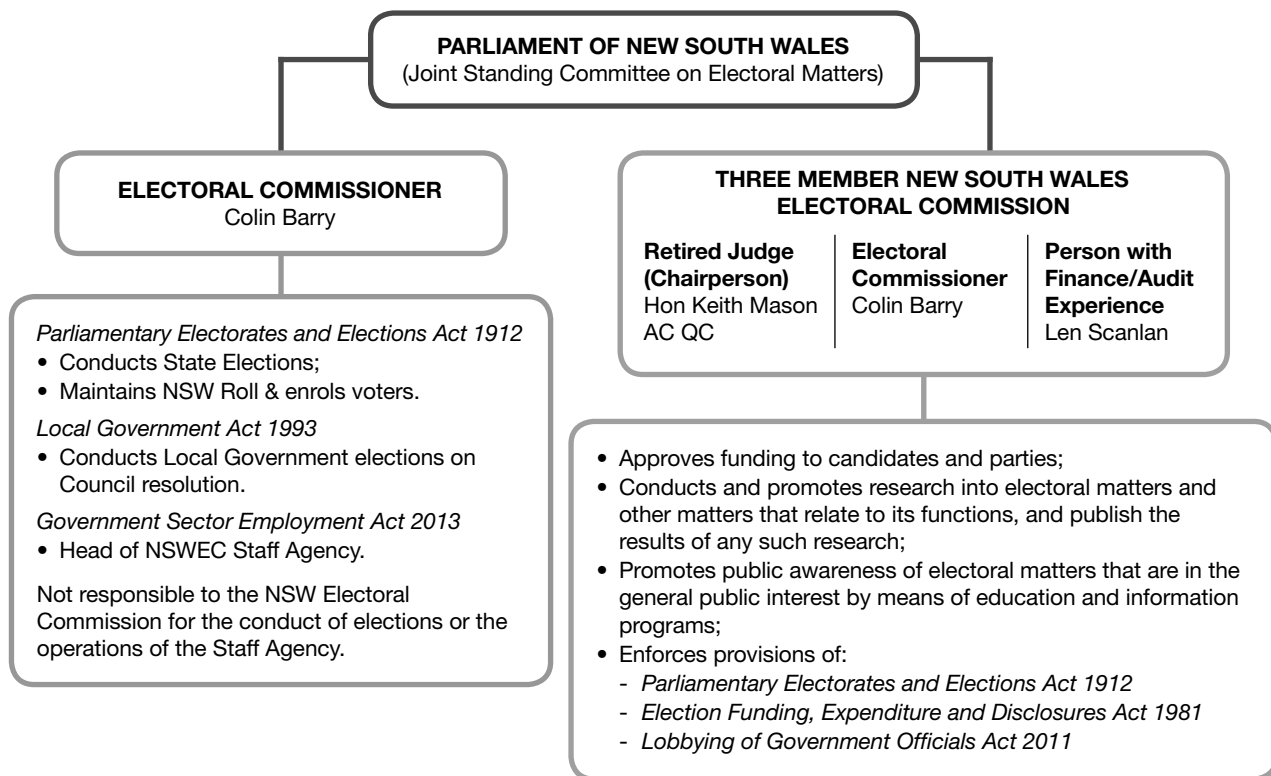
I am pleased to present the New South Wales Electoral Commission’s Annual Report for 2014-15.

## Forming a new Commission

The year saw significant structural change, following implementation of a 2013 recommendation of the Parliamentary Joint Standing Committee on Electoral Matters. The Committee found that our electoral legislation required a comprehensive review with a focus on consistency, functionality and modernisation. The Committee recommended a new electoral Act for NSW that would cover both the conduct of State elections and the regulation of campaign finance and disclosures, and that the new Act be administered by a single statutory corporation.

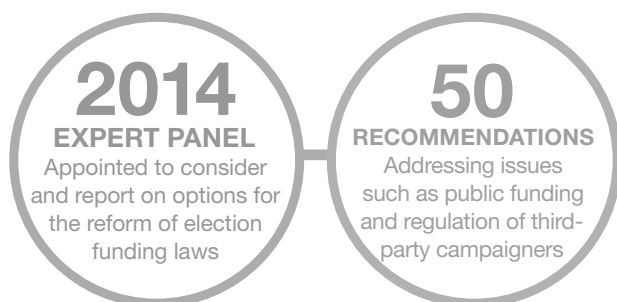
Consequently, legislative change during the year reconstituted the Commission so that it consists of the Electoral Commissioner, a former Judge as Chairperson of the Commission and a member with financial or audit skills, instead of it being constituted only by the Electoral Commissioner. The Election Funding Authority was abolished and its functions conferred on the reconstituted Commission. The new Commission is therefore responsible for administering the election funding, expenditure and disclosure scheme in NSW. The Commission’s role is also to provide “assistance” to the Electoral Commissioner in his statutory function of conducting elections.

Legislative change in 2014 also empowered the Commission to investigate and undertake enforcement actions for breaches against the *Parliamentary Electorates and Elections*





*Act 1912* and the *Lobbying of Government Officials Act 2011*. This has moved our function from largely administrative to a greater focus on client services and regulation, with increased investigative and enforcement activities. We now have additional objectives of promoting campaign finance transparency and enforcing compliance with the legislation.



## Reforming political donations

In May 2014, the Government appointed an independent Panel of Experts to consider and report on options for the reform of election funding laws. The Panel was established in response to public concerns about the influence of political donations and followed revelations at ICAC hearings about political donations being accepted from banned donors, donations in breach of the applicable caps and schemes to hide illegal donations.

The Panel was asked to consider 'the best way to remove any corrosive influence of donations in New South Wales'. In doing so, the Panel consulted widely and took submissions from a variety of interested parties, including the Commission. On 24 December 2014, the Panel provided its final report to the Governor and the Premier. The Report contains 50 recommendations for reform, addressing issues such as restrictions on political donations and expenditure, public funding, party governance, regulation of third-party campaigners, disclosure requirements and enforcement. The Government has indicated its intention to accept all but one of the recommendations. Some have already been implemented, such as the changes to the Commission outlined above. The Government has indicated it will refer the Panel's report and the Government's response to the Joint Standing Committee on Electoral Matters for consideration in the context of its review of the 2015 State General Election. We will be making a submission to the Committee's Inquiry, to comment on the Panel's recommendations and to advise what we are doing to implement them.

## Implementing legislative change

Apart from the reconstitution of the Commission, the abolition of the Election Funding Authority, and an increased investigative and enforcement role for the Commission, there were also changes to donation caps for the State General Election as well as changed disclosure requirements. Staff of the Commission did a lot of work to make stakeholders aware of the changed requirements and their obligations. We achieved our target of 95% compliance with the new requirements. Other legislative change during the year introduced a Register of Third-Party Lobbyists, a Lobbyists Watch List and a Code of Conduct for third-party and other lobbyists; and conferred on the Commission the function of keeping the Register and Watch List and of enforcing compliance with the Code.

A key issue for us in the future will be implementing strategies to monitor compliance with the lobbyist regulatory regime. The Commission is collaborating with our counterparts in other Australian jurisdictions to share knowledge and ideas to develop a proactive approach to this new regulatory responsibility.

## Some challenges and opportunities

One legislative change this year gave the Commission longer time to prosecute for offences. However, the reform was not made retrospective. This means that there continues to be relatively short periods available for prosecution and recovery action in relation to alleged offences occurring before October 2014. There are numerous other prospective reforms touching upon the conduct of elections that are referred to by the Electoral Commissioner.

Also, the Commission will provide to the Parliament's Joint Standing Committee on Electoral Matters a separate report on the conduct of the 2015 State General Election and canvas options for reform of electoral administration.

## Commendation

I take this opportunity to congratulate the Electoral Commissioner and his staff for their diligent and skilful management of the recent General Election. By any criterion, this was a task absolutely central to our working democracy and it was a job very well done.

The Hon Keith Mason AC QC  
Chairperson, NSW Electoral Commission

# Report of the Electoral Commissioner



I am pleased as the NSW Electoral Commissioner to make the following comments on a successful year of operation for the NSW Electoral Commission.

## The Year in Review – conducting the State General Election

By far the year's major event was conducting the State General Election, held on 28 March 2015. Members were elected to all 93 seats in the Legislative Assembly and to 21 of the 42 seats in the Legislative Council.

More than four and a half million electors voted. We provided over 2,800 polling places, employed 22,355 staff and printed about 29 million ballot papers.

Our goals in running a State General Election are to optimise the number of eligible voters who participate and to ensure that they are satisfied with our services.

To encourage participation, we use an automated enrolment system, SmartRoll, to maximise the number of electors enrolled and we advertise the elections extensively in a wide range of media including social media. We also engage with community groups to raise awareness and to increase accessibility of our services. I am particularly proud of our targeted recruitment campaign to employ more Aboriginal and bilingual election officials. For these elections, we employed 395 Aboriginal officials (up by 48% on the last election in 2011) and 3,660 bilingual officials (an increase of 11% over 2011).

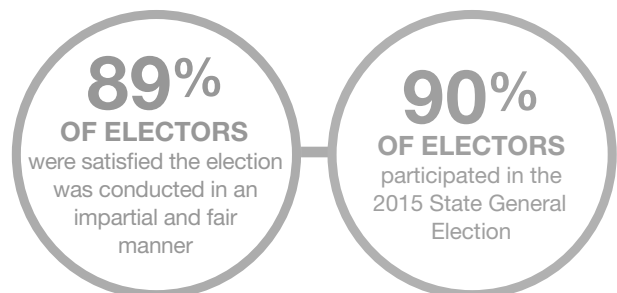
“A world leader in the use of electronic voting methods”

We also offer a variety of voting methods to suit modern, busy lifestyles. These include pre-poll, postal and electronic voting, as well as voting in person on the day. The latter is still by far the most popular way to vote, however, the alternatives continue to grow in popularity. Electronic voting, for example, was used by over 283,000 electors this year, compared to 50,000 in 2011. We are a world leader in the use of electronic voting methods, continuing to review and improve the technology to ensure that it is robust and easy for electors to use.

Despite these efforts, NSW is affected by the world-wide decline in voter participation in western democracies. Our participation rate is above 90%, however, maintaining it is a major and ongoing effort. We expect the challenge to increase over time, as our research shows a much greater engagement among older voters than younger people.

Elections are expensive events to conduct. The 2015 State General Election was undertaken for a total operating expenditure of \$55.577 million and a capital expenditure of \$3.850 million. The average cost per elector was \$11.03, an increase of \$2.20 from the 2011 State General Election, however, the 2011 Election did not face the same degree of complexity or challenges.

I was pleased to see 86% of electors were satisfied with our services in relation to the 2015 State General Election, 90% were confident about the accuracy of the election results and 89% saw the conduct of the election as impartial and fair. Overall, our running of the 2015 State General Election was an outstanding success.



## Future Reform

While we evaluate our performance at each election and also use input from community groups to adjust our election services, we must make any changes within legislative parameters.

The *Parliamentary Electorates and Elections Act 1912* largely determines the services and flexibility we can provide electors, candidates and parties. Legislative amendments for the 2015 State General Election had been mooted but the Government did not introduce them into Parliament. Consequently, we were unable to introduce some proposed changes to better meet the needs of election participants. This affected our 2014-15 plans for improving services to electors, candidates and parties. We will continue to work with Government, via the Joint Standing Committee on Electoral Matters, to encourage electoral reform for the future.

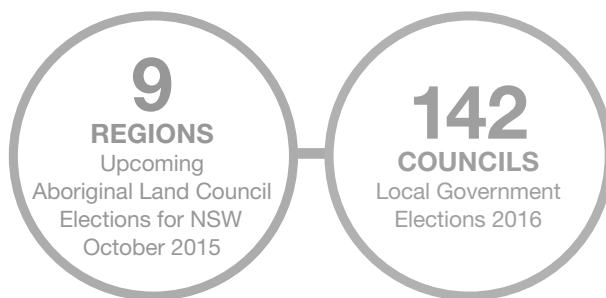
“Continued endeavours to advance services for electors, candidates and parties through legislative initiatives”

## The Year Ahead

In 2015-16, we will present a comprehensive report to the Joint Standing Committee on Electoral Matters in relation to our conduct of the 2015 State General Election and expect to appear before the Committee as it reviews the election. This will be an opportunity to reflect on what worked in 2015 and areas for improvement, particularly as these relate to legislative reform. It will also be an opportunity to consider how our services and the relevant legislation need to change to take account of societal or business change. For example, we will need to address concerns that reduced postal delivery services will ultimately impact on the ability of postal vote material to be distributed and returned in accordance with election timeframes.

We will conduct the NSW Aboriginal Land Council elections during the coming year, which is a responsibility we have under the *Aboriginal Land Rights Act 1983*. While on a much smaller scale than the recent State General Election, Aboriginal Land Council elections have the particular challenge of encouraging and achieving participation among often remotely-based electors.

We will also spend the year preparing for the Local Government Elections, to be held early in 2016-17. We have finalised contracts with 142 councils for the delivery of their elections and will be bringing our extensive experience, as well as lessons learned from the 2015 State General Election, to bear in preparing for those.



## Commission Staff

Given the State General Election and the extent of legislative change, the Commission had an enormous year. I am pleased to say that we rose to the challenges and met them well. This was possible because of the skills, expertise and dedication of Commission staff.

I would like to thank all of our staff for their hard and outstanding work this year and I know they will continue to meet the challenges of 2015-16.

Colin Barry  
Electoral Commissioner

# Report of the Chief Financial Officer



The NSW Electoral Commission had its largest operational year in the four year election event cycle with the conduct of the 2015 State General Election.

Total Expenses for the year were recorded at \$100.6 million against an original budget of \$92.2 million.

The external audit of the Commission's financial performance is a significant review against which we measure ourselves. I am pleased to report that the Commission received an unmodified audit opinion issued by the Audit Office of NSW.

## Budget initiatives

The Commission's budget comprised key initiatives including:

- \$43.9 million to conduct the State General Election
- \$3.8 million as part of a two year project totalling \$5.7 million capital investment to develop a Roll Management System replacing the electoral roll sourced from the Australian Electoral Commission
- \$2.9 million to complete a Browser based online voting system for specified groups of electors
- \$0.6 million capital to deliver Tablet devices for the iRoll product to be used in polling places, and
- \$0.3 million capital for an Online Electoral Material Registration System.

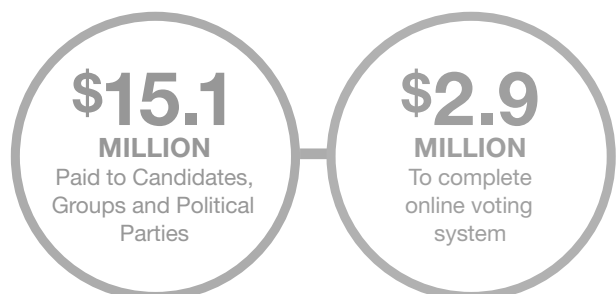
## Delivering the State General Election

The Commission's Program Governance Board oversaw the 20 projects to deliver the State General Election. The program had a total budget of \$49.2 million allocated over two years, reflecting the long lead-time. The final cost of conducting the 2015 State General Election was \$55.5M. Treasury approved and funded the additional expense in May 2015.

There were a total of 4,561,234 voters. The popularity of 'iVote', delivering a channel of browser based voting, recorded 283,699 votes against a Treasury funded level of 100,000 votes. The Commission had developed a more sophisticated system with greater security and back up requirements to ensure the integrity of the votes lodged in preparation for the election. Additional IT system support and quality control enhancements made up the extra, over budget cost of the election.

## Assuming additional responsibilities

Following legislative amendment, the Election Funding Authority of New South Wales was abolished and its functions transferred to the Commission on 1 December 2014. The financial results include the seven months of operations of this business unit from 1 December 2014 to 30 June 2015. The Commission is now responsible for the public funding of State election campaigns. Claims totalling \$15.1 million of payments to Candidates, Groups and Political Parties were made from the funds maintained for this purpose. Before its abolition, transfer payments of \$9.6 million were made to the Election Funding Authority for the first five months of the financial year.



## Conducting other elections

No State by-elections were conducted during the year, so the cost of conducting these events was nil. The Commission continued to conduct Local Government by-elections and some Statutory and Industrial Ballots. Revenue from these election events, invoiced as cost recoveries, was \$1.2 million. The Commission is planning for the September 2016 Local Government Elections armed with the knowledge that 142 of the current 151 councils facing elections have contracted our services to conduct their election.

## Managing elector enrolment

The Agreement with the Commonwealth, running at \$4.8 million per annum, for provision of elector enrolment information will be phased out in just over a year's time. The Commission is investing in its own Roll Management System leveraging off the investment previously made in the 'SmartRoll' product that utilises NSW databases, such as the register of drivers' licences, to update elector enrolment details. The software development programme for the Roll Management System has a capital investment of \$5.7 million and will be completed by the end of 2016.

## NSW Electoral Commission Staff Agency

The NSW Electoral Commission Staff Agency provides personnel services to the Commission. The Commission paid the Agency \$28.5 million for these services in 2014-15. The increase from \$7.6 million in 2013-14 is attributable to the hiring of staff for the State General Election. Approximately 22,000 election officials were employed along with 4,500 office assistants.

## Our operating expenses

Operating expenses reflect the overall conduct of the State General Election. Printing expenditure, as an example, increased from \$0.3 million to \$4.4 million to account for the expense of producing ballot papers. A total of 93 'shop-front' short term leases were engaged for the provision of Returning Officers' offices in the electorates with facility hire costing \$1.3 million. Advertising expenditure increased by \$0.2 million to \$3.4 million. This election was conducted on new boundaries redrawn every eight years. 2014-15 represented the final year of the program costs of the Electoral Boundaries Redistribution. \$2.4 million was spent in this year delivering the program.

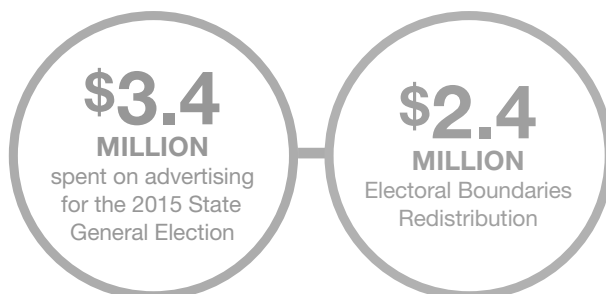
“142 of the 151 Local Government councils have contracted our services to conduct their upcoming elections”

## Capital Investment

Capital investment occurred largely on information technology systems. During the year the Commission spent \$4.5 million of the allocated capital budget of \$7.5 million. \$0.5 million was invested in ICT infrastructure, \$0.6 million on iVote systems, and \$1.7 million in the Roll Management System. The expenditure supported the build necessary for the March 2015 State General Election.

Following the Commission assuming responsibility for the Lobbyist Register, we spent \$0.2 million on systems development for this responsibility in the financial year. The transfer of this responsibility has been covered elsewhere in the Annual Report.

Depreciation and amortisation expense increased to \$6.1 million from \$4.7 million as a number of assets were capitalised in the prior financial year. Carrying value reduced as a result of replacement capital funding falling short of the higher depreciation and amortisation.



# Report of the Chief Financial Officer

## continued

### Statement of Financial Position

Total Assets at \$22.3 million are similar to the preceding year, however the weighting has moved toward current assets largely driven by strong closing cash balances and the reduced carrying value of plant, equipment and software assets. Payables and Provisions increased on the prior year bringing Total Liabilities up to \$5.5 million. Net Equity fell from \$18.0 million to \$16.8 million as a result.

“New financial systems continue to be developed with the rollout of “iPOS” online purchase order system this year”

### Enhancing our Finance Systems

The Commission’s Finance Systems were enhanced during the year to deliver online payments. The Commission has been very successful in this regard, with the month of June achieving 99.3% of payments made electronically. The move to Super-stream for Superannuation Fund payments has assisted to attain this high level of online transactions.

An online purchase order system is now embedded in the Commission, known as ‘iPOS’. This system manages the raising of requisitions, approvals, the issue of Purchase Orders and Goods receipting. The approval matrix is based on the Electoral Commissioner’s delegations and gives assurance that purchases are following the mandated purchasing authority limits. The payables processes and systems are working well with no penalty interest payments incurred during the year.

The online Employee Service Portal, which is integrated with the Payroll System and captures all leave applications, approvals and management of leave balances, performed well throughout the entire year. Shortly we will receive delivery of a system that captures polling place payment information and writes Recipient Created Tax Invoices. Some 2,806 polling places were signed up for the 2015 State General Election.

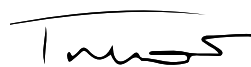
Candidates continued to be required, unfortunately, to make nomination deposits in the current form of cash or bank cheque, as an online payment solution is subject to legislative amendment, which did not eventuate during the year.

“Trends indicate more voters are choosing the convenience of pre-poll and online voting”

### Future Events and Trends

The growth in the numbers of electors on the Electoral Roll continues to cause cost of delivery pressures. All enrolled electors are entitled to vote and provision for these services is now for an electoral roll of over five million. The trend sees more electors choosing to pre-poll, which on a unit cost is far greater than election day voting. The demand for online voting, whilst capped by eligibility criteria, currently has a high unit cost. This is partially driven by relatively small numbers of (just over) 6% of votes cast this way. Overall, however, the cost of technology continues to drop which facilitates the possible introduction of more technology into polling places to increase efficiency and accuracy of polling place activities. The Commission has worked with other State Electoral Commissions to share technology assets. Postal voting faces an uncertain financial future with cost issues resulting from a change in the Australia Post pricing and service delivery.

All of these issues pose challenges the Commission will consider over the course not just of the coming financial year but over the four year period before the next NSW State General Election in 2019.



Trevor Follett  
Chief Financial Officer

# Our Stakeholders

We serve the people and electors of NSW; the NSW Parliament; the Premier; Minister for Local Government; local councils; NSW Aboriginal Land Council; registered political parties; the media; candidates and other participants at elections; registered clubs, statutory boards and industrial organisations.

## Our operating environment

Our business is governed by various pieces of NSW legislation which means that we are often constrained in the changes and improvements we can make when conducting elections. To introduce centralised counting of votes, for example, would require legislative change. This can be a lengthy process.

The legislation under which we operate is:

- *Constitution Act 1902*
- *Parliamentary Electorates and Elections Act 1912*
- *Election Funding, Expenditure and Disclosures Act 1981*
- *Local Government Act 1993*
- *Local Government (General) Regulation 2005*
- *The City of Sydney Act 1988*
- *Registered Clubs Act 1976*
- *Industrial Relations Act 1996*
- *Aboriginal Land Rights Act 1983*
- *Privacy and Personal Information Protection Act 1998*
- *Government Information (Public Access) Act 2009*
- *Public Finance and Audit Act 1983*
- *Government Sector Employment Act 2013*
- *Lobbying of Government Officials Act 2011*

We also, properly, come under detailed scrutiny both from Parliament and the public. We report to the Joint Standing Committee on Electoral Matters (JSCEM), as appointed by the NSW Parliament from time to time. The Committee inquires into and reports on matters referred to it by either House of Parliament or a Minister, in relation to various electoral laws as well as the conduct of major elections, such as the 2015 State General Election. The JSCEM reports are due within 18 months of being referred a matter. We prepare detailed reports, make recommendations, appear before the Committee and implement any recommendations of the Committee to which the Government agrees.

Elections, particularly for State and Local Government, are conducted in a high profile environment where impartiality, accuracy, reliability and efficiency are essential. With the proliferation of social media, the public has increased expectations of its access to information and the timeframes within which results are finalised and available. We operate under detailed scrutiny, particularly in the wake of events such as the mishandling of the Senate ballot counting in Western Australia during the 2013 Federal Election and the subsequent Keelty Inquiry and its findings.

“Electors are surveyed to assist with future planning and continued improvement of the voting services”

We survey members of the public following major election events as to their satisfaction with our conduct of these elections. We report these survey findings to the Parliamentary Committee.

More broadly, we are attempting to maintain and increase voter participation in the face of a world-wide decline in voter participation in most established western democracies.

While we have set this goal of maintaining and increasing voter participation, the decision to vote can be complex and driven by matters outside the Commission's control. Our own research shows a much greater engagement among older voters than younger people. This means that our work to foster participation will, over time, both be increasingly important and increasingly difficult.

# Commissioners of the NSW Electoral Commission

On 1 December 2014 the *Electoral and Lobbying Legislation Amendment (Electoral Commission) Act 2014* amended the *Parliamentary Electorates and Elections Act 1912* to reconstitute the NSW Electoral Commission so that it consists of the Electoral Commissioner, a former Judge as Chairperson of the Commission and a member with financial or audit skills. Commission members are:



- 1) A former judge appointed by the Governor as the Chairperson

**Hon Keith Mason**

AC QC BA LLB LLM

Keith Mason was admitted to the New South Wales Bar in 1972 and appointed as a Queen's Counsel in 1981. From 1985 to 1987 he was Chairman of the NSW Law Reform Commission, and again from 1989 to 1990. He was Solicitor-General for NSW from 1987-1997, until his appointment as President of the NSW Court of Appeal in 1997. Keith retired from the Court in 2008 and is currently a Visiting Professorial Fellow at the University of New South Wales. In 2013 Keith chaired the redistribution of NSW Electoral Districts required by the *Constitution Act 1902* (NSW).



- (2) A person appointed by the Governor who has financial or audit skills and qualifications relevant to the functions of the Commission

**Len Scanlan**

BBus BA MPubAd

Company Directors Diploma, Fellow of the Australian Institute of Company Directors.

Len Scanlan was Auditor-General of Queensland from 1997 until 2004, during which time he was also the CEO of the Queensland Audit Office. Len has since pursued a successful career as an independent consultant which has included service on audit committees, as a Non-Executive Director and general consulting work. Len is a Fellow of the Institute of Public Administration Australia and an Adjunct Professor at the University of Queensland.



- (3) The New South Wales Electoral Commissioner

**Colin Barry**

BA BEd

Colin Barry was appointed Electoral Commissioner for New South Wales on 1 July 2004. Previously, Colin served as the Electoral Commissioner for Victoria from 1999 and Deputy Electoral Commissioner in Victoria from 1989. Before joining the Victorian Electoral Commission, Colin had a career in education.

The NSW Electoral Commissioner is appointed by the Governor to administer the NSW State rolls and to conduct State Parliamentary elections and other elections as authorised by law.



## Deputies to the Chairperson and Member

The December 2014 amendments to the *Parliamentary Electorates and Elections Act 1912* which reconstituted the NSW Electoral Commission as a three-member body also provided that the Governor may appoint a deputy for each member, who acts in the place of that member if required, and may attend meetings of the NSWEC in that capacity.



**Hon Joseph Campbell QC** has been appointed as the deputy of the Chairperson, Hon Keith Mason AC QC. Mr Campbell was a judge of the NSW Supreme Court from 2001 until his retirement in 2012, first as a judge in the Equity Division and then as a Justice of the Court of Appeal. Mr Campbell has served in a wide range of positions, including as a Member of the Legal Profession Admission Board since 2008, and as Member and Deputy Chair of the Legal Qualifications Sub-Committee since 2006. In 2013 Mr Campbell was elected as a Fellow of the Australian Academy of Law and became an Adjunct Professor at the University of Sydney.



**Mr Bob Sendt** has been appointed as the deputy of NSWEC Member Mr Len Scanlan. Mr Sendt had a long career in the NSW public sector, including a seven-year term as NSW Auditor-General, and is the current and inaugural Administrator of the National Health Funding Pool. Among his many public roles has been as Chair of Healthdirect Australia and of Job Futures Ltd. Mr Sendt is also a Fellow of the Australian Institute of Company Directors, of CPA Australia and of the Institute of Public Accountants.

Meetings of the Commission during the reporting period are detailed at Appendix 1.

“The NSW Electoral Commission now consists of the Electoral Commissioner, a former Judge as Chairperson of the Commission and a member with financial or audit skills.”

# Executive Management Team



**Colin Barry**  
**Electoral Commissioner**  
BA; BEd

Colin Barry was appointed Electoral Commissioner for New South Wales on 1 July 2004. Previously, Colin served as the Electoral Commissioner for Victoria from 1999 and Deputy Electoral Commissioner in Victoria from 1989. Before joining the Victorian Electoral Commission, Colin had a career in education.



**Linda Franklin**  
**Director Elections**  
Dip. Human Res Mgt; GradCert. Change Mgt

Linda Franklin joined the NSWEC in 2009, from the World Youth Day Co-Ordination Authority where she was Executive Director, Planning and Operations. Linda previously worked in the Office of Protocol and Special Events in the Department of Premier and Cabinet. Linda commenced a period of extended leave in late June 2015



**Trevor Follett**  
**Director Finance**  
BCA, MIPA

Trevor Follett joined the NSWEC in October 2005. Previously, he spent 20 years in the private sector and was Finance Director for a private education business immediately prior to joining us. He has also held the role of Secretary, Election Funding Authority.



**Greg Brandtman**  
**Director Administration**  
BBus

Greg Brandtman joined the NSWEC in 1990. His career in public sector management is complemented by significant experience in the election environment. He has delivered a diverse range of key projects across a number of major election events.



**Dr Elizabeth Coombs**  
**Director Performance Measurement (part-time)**  
PhD, BA (Hons), GradDip. Mktg Mgt

Elizabeth Coombs joined the NSWEC in 2007 after senior roles in Fair Trading, the Department of Juvenile Justice, Department for Women and Premier's Department. She also has served as Commissioner, NSW Local Government Grants Commission.



**Paul Beeren**  
**Director Enrolment**

Before joining the NSWEC in 2006, Paul Beeren spent over 25 years in the utilities industry in a variety of senior management, marketing and technical roles. In the last four years he has developed, introduced and implemented our SmartRoll system (SmartRoll) enrolment process.



**Ian Brightwell**

**Director IT Services**

MAppSc; MEngSc; BEng, MIEAust

Ian Brightwell was appointed Director IT Services in 2006. Prior to that, Ian had been a consultant to large organisations on IT operations and planning and had also held various roles in several NSW Government agencies.



**Sonja Hewison**

**Director Legal**

BA, LLB, GradDip Leg Prac.

Sonja Hewison joined the NSWEC in 2008 after seven years with the Department of Local Government. She has significant experience developing electoral policy and legislation and leads delivery of our legal services.



**Brian DeCelis**

**Director Funding and Disclosure (EFA)**

Brian DeCelis joined the State Electoral Office in 1973. He has held various positions totalling over 28 years in both the State Electoral Office and the NSWEC. This experience has included a number of years in the position of Director Elections prior to taking up the role of Director Funding and Disclosure for the Election Funding Authority (EFA). Retired August 2015.



**Alison Byrne**

**Director Funding, Disclosure and Compliance**

BSocSc/Laws (Hons), GradDip Leg Prac, MBA (completion late 2015)

Alison Byrne joined the Commission in 2011 as the Principal Legal Officer. She has over 10 years' experience in law, specialising in criminal investigations and prosecutions. Her previous employers include the Director of Public Prosecutions and the NSW Police Force.



**Simon Kwok**

**Acting Director Elections**

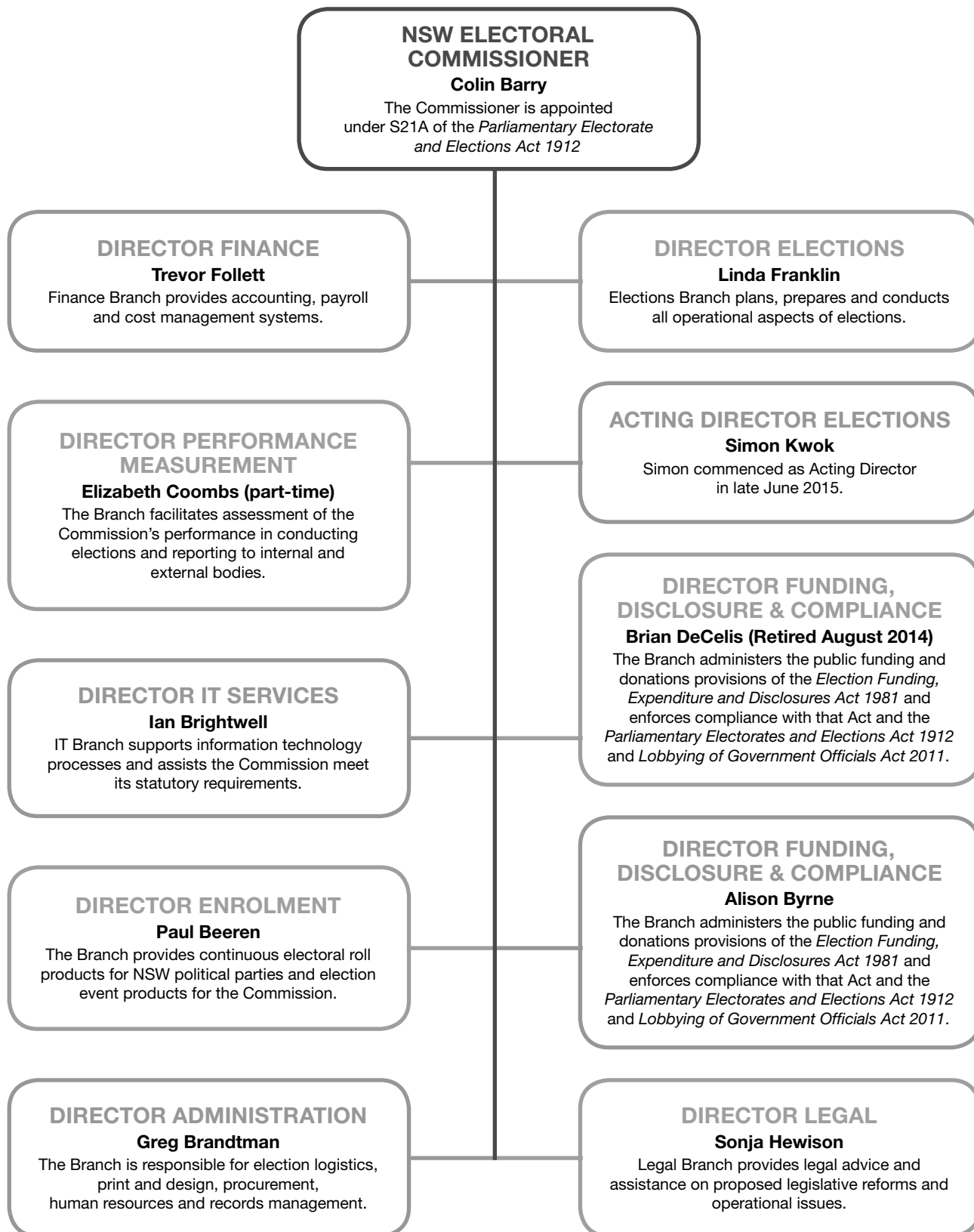
BE (Hons)

Simon Kwok has been a permanent employee of the NSWEC since January 2013. He has previously worked in Information Technology and business services industries. Simon commenced as Acting Director in late June 2015.

“Change in our Executive Team has been aligned to our organisational reform”

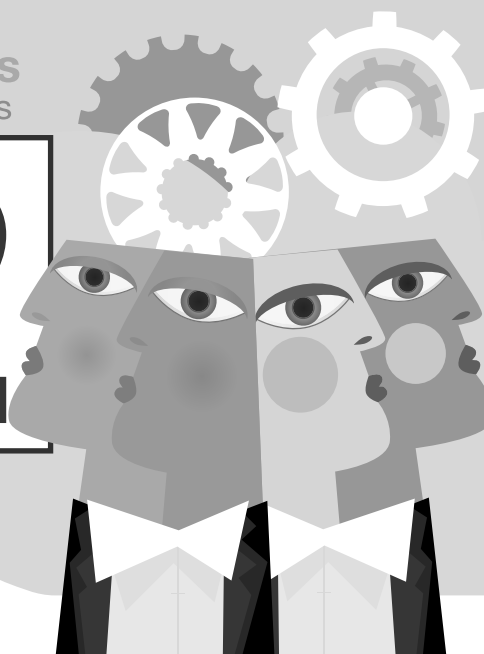
# Organisational Structure

AS AT 30 JUNE 2015



State General Election  
**Elections**  
State By-elections  
Commercial Elections  
Local Government By-elections

**2**



► **PART 2**  
Conducting Elections

**This section outlines the NSW Electoral Commission's conduct of elections throughout 2014-15 and the challenges and opportunities to be addressed in the coming financial year.**

Conducting Elections	20
2015 State General Election	21
State By-elections	29
Local Government By-elections	29
Commercial Elections	30
Assisting other jurisdictions	30
Looking Forward – Challenges and Opportunities in 2015-16	30

# Conducting Elections

**By far, the biggest election which we conduct is the State General Election held in March every four years. We also conduct State by-elections, when Legislative Assembly seats become vacant in between general elections.**

We provide services to local government when we are engaged to do so.

We provide some assistance to voters from other jurisdictions (New Zealand and other Australian States and Territories) to allow them to vote in their elections.

We also provide services to a range of commercial and service organisations which approach us to conduct their elections for office holders (Please refer to Appendix 9 for a list of organisations who used our services).



**4,561,234 million** electors voted during the 2015 State General Election



**22,355** staff were employed during the 2015 State General Election



**2,806** polling places were provided during the 2015 State General Election



**Approx 29 million** ballot papers were printed during the 2015 State General Election

## 2015 State General Election

State General Elections in NSW are held to choose representatives in the Legislative Assembly (Lower House) and the Legislative Council (Upper House).

Under the *Constitution Act 1902*, a State election is held every four years on the last Saturday in March. The only exception would be if the Governor dissolved the Parliament before the end of a four year term.

A State General Election was held in NSW on Saturday, 28 March 2015.

### The Commission's role in State General Elections

The Commission conducts State General Elections. This means that we:

- Manage the electoral roll and make sure as many eligible voters are on the roll as possible;
- Arrange polling places, ballot papers and equipment;
- Recruit and train election officials;
- Run campaigns to inform voters about the election, their voting options and where to find more information;
- Run campaigns to inform potential candidates of the election process, their obligations and entitlements;
- Encourage people to vote and remind them of penalties if they don't;
- Establish and run systems to allow voters to enrol and to vote in a variety of ways including pre-poll, postal, iVote, voting in various Declared Institutions and in person on election day;
- Manage the count and publish the election results; and
- Fund parties and candidates based on their (legislated) entitlements.

### Electing political representatives

Candidates for public office nominate for positions in either the Legislative Assembly or the Legislative Council.

There are 93 electoral districts in NSW, with each containing approximately the same number of voters. The Member of Parliament (or MP) represents each electoral district for a four year term.

At each State General Election the voters in each electoral district vote for the MP who will represent their district. MPs sit in the Legislative Assembly. NSW uses an optional preferential voting system for the Legislative Assembly. This means that voters have to rank candidates in order of preference, but need only indicate one single preference for their vote to count.

There are 42 members of the State Parliament's Upper House, or Legislative Council. Members of the Legislative Council represent the state as a whole rather than particular electoral districts, and are elected for a term of 8 years. 21 Members of the Legislative Council are elected at each State General Election.

For the Legislative Council, NSW uses the proportional representation voting system. This aims to allocate seats in the Council in proportion to the votes cast, once a certain quota has been reached. Electors vote for all the candidates they want to represent the State in the Legislative Council.

### Compulsory voting

It is compulsory to enrol to vote (ie. be placed on the electoral roll) if you are an Australian citizen and 18 years or over. You must then vote in an election if you are on the electoral roll.

Australia and its States have had compulsory voting since the 1920s and is one of the few countries in the world to have and to reinforce the requirement – when voters don't vote, they receive a penalty of \$55.

### Redistribution of electoral boundaries

Redistributions occur after every two State General Elections, to ensure that the numbers of voters in each electoral district are approximately equal and only vary, more or less, by 10% from the average. This is part of implementing the principle of 'one vote, one value'. A redistribution was due before this election and took place in 2013. Key changes, which came into effect at this State General Election, were:

- Abolition of the district of Murrumbidgee;
- Creation of the district of Newtown; and
- Variation of other electoral district boundaries, with six district boundaries changing to such a degree that name changes were determined as follows:
  - Cootamundra (formerly Burrinjuck)
  - Holsworthy (formerly Menai)
  - Murray (formerly Murray-Darling)
  - Prospect (formerly Smithfield)
  - Seven Hills (formerly Toongabbie)
  - Summer Hill (formerly Marrickville).

# Conducting Elections continued

## Calling an Election

A State election is held following the issue of the Writs by the Governor which direct the NSW Electoral Commissioner to conduct the election according to the procedure set down in the *Parliamentary Electorates and Elections Act 1912*. 'Writ', a word dating back to medieval times, simply means a formal written order. The Governor issues Writs on the advice of the Government.

The Writs contain the date by which candidates must nominate themselves for election; the date of the election and the date by which the Writs must be returned to the Governor. A Writ is issued for each of the 93 State electoral districts and a single Writ is issued for the Legislative Council.

After the election, the Electoral Commissioner must certify on the Writs the name of the elected candidate for each Legislative Assembly district, and the names of the elected candidates for the Legislative Council.

Following the election the Writs must be returned to the Governor within 60 days after their date of issue, unless directed to be later by the Governor using a notice in the Government Gazette.

The issue and return of the Writs represent the official beginning and end of the election.

A general election for the 56th Parliament of NSW was held on Saturday 28 March 2015. Members were elected to all 93 seats in the Legislative Assembly and to 21 of the 42 seats in the Legislative Council. Details of the political parties registered and nominations received for the Legislative Assembly and Legislative Council are at Appendix 2. Elected candidates for the Legislative Assembly are listed at Appendix 3 and elected Legislative Council candidates are at Appendix 4.

4,561,234 electors voted, 2,806 polling places were provided, 22,355 staff were employed, 934 candidates nominated (540 for the Legislative Assembly and 394 for the Legislative Council) and approximately 29 million ballot papers were printed.

## Our Goals for the 2015 State General Election

In running the State General Election, we had two broad goals:

1. Foster participation in the democratic process. This includes optimising numbers of eligible voters on the electoral roll; optimising numbers who vote; and minimising the informal vote.
2. Ensure that electors feel well-informed about the election process and are satisfied by the Commission's services.

## 1. Fostering participation in the democratic process

Our principal goal is to foster voter participation, to ensure effective engagement with democracy.

Our participation rate compared to other States and Territories sits in the middle of the group. For election participation rates at State/Territory level across Australia (see the figure below). We saw the largest recent drop in participation of any jurisdiction at the 2015 State General Election.

**Figure 2 – Election participation at State/Territory level across Australia**

STATE	ELECTION PERIOD	PARTICIPATION RATE	CHANGE
Tasmania	2010-14	93.85%-93.49%	-0.38%
Victoria	2010-14	92.96%-93.01%	0.05%
South Australia	2010-14	92.78%-91.94%	-0.91%
New South Wales	2011-15	92.57%-90.49%	-2.07%
Queensland	2012-15	90.99%-89.89%	-1.21%
Australian Capital Territory	2008-12	90.32%-89.26%	-1.17%
Northern Territory	2008-12	75.65%-76.91%	1.67%

We are attempting to maintain and increase voter participation in the face of a world-wide decline in voter participation in most established western democracies.

The reasons for this decline are matters which are occupying academics, the media and politicians alike. While we have set a goal of full participation, the decision to vote can be complex and driven by matters outside the Commission's control.

In addition, our own research shows a much greater engagement among older voters than younger people. This means that our work to foster participation will, over time, both be increasingly important and increasingly difficult.

A survey we undertook prior to the 2015 State General Election revealed that older participants placed a greater level of importance on voting than younger participants (88% of those aged 65+ rated it as very important, compared with 44% of those aged under 25). Older voters were more likely to strongly agree that the election was their chance to vote for what mattered to them (68% of those aged 65+ compared with 37% of those aged under 35) and that decisions made by State Government were important to them personally (66% compared with 46%).



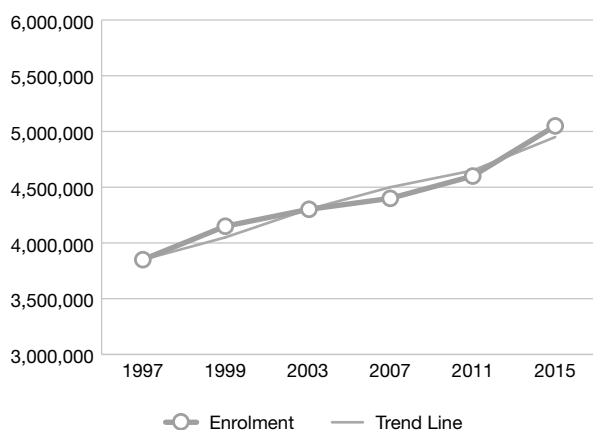
There are, nevertheless, many things we can do to foster participation. These include:

- Optimising enrolments;
- Offering a variety of voting options to suit the modern lifestyle (within the limits of legislation); and
- Working with particular parts of the community to encourage participation (people from different cultural and language backgrounds; Aboriginal and Torres Strait Islanders and people with disability).

### Optimising enrolments

5,040,662 people were enrolled for the 2015 State General Election, up by 270,639 voters (6.3%) from 2011. There has been a steady increase in the number of enrolled electors over the years as indicated in the graph at Figure 3:

**Figure 3 – Number of Enrolments in the State General Elections from 1995 to 2015**



Part of this increase can be linked to population increases, however the growth in enrolment has outstripped population growth, as can be seen in Figure 5 – Changes in Enrolment and Population over six State General Elections, 1995 to 2015.

**Figure 5 – Changes in Enrolment and Population over six State General Elections, 1995 to 2015**

STATE GENERAL ELECTION	ENROLMENT	% CHANGE FROM PREVIOUS ELECTION	NSW POPULATION	% CHANGE FROM PREVIOUS ELECTION
2015	5,040,662	8.7	7,565,500 (at 31/12/14)	3.8
2011	4,635,810	6.0	7,287,600	6.0
2007	4,374,029	2.4	6,875,700	2.8
2003	4,272,104	3.8	6,691,800	4.6
1999	4,115,059	7.2	6,397,200	4.9
1995	3,837,102	N/A	6,097,600	N/A

### Automating enrolment (SmartRoll)

We attribute the greater growth in enrolments over population growth largely to our introduction of SmartRoll.

While eligible voters can take their own action to register to vote or update their details, since 2010 legislation has allowed us to also directly enrol eligible voters. We do this using the SmartRoll automated system which uses data from other NSW Government agencies to identify eligible but unenrolled or incorrectly enrolled people and then adds their correct details to the NSW roll.

The SmartRoll system is reaching its fifth birthday and is now a mature enrolment system, steadily increasing the percentage of the eligible population which is registered to vote. This can be seen in Figure 4 – NSW Enrolment Participation Rate (18 years and over), 2012 to 2015.

**Figure 4 – NSW Enrolment Participation Rate (18 years and over), 2012 to 2015**

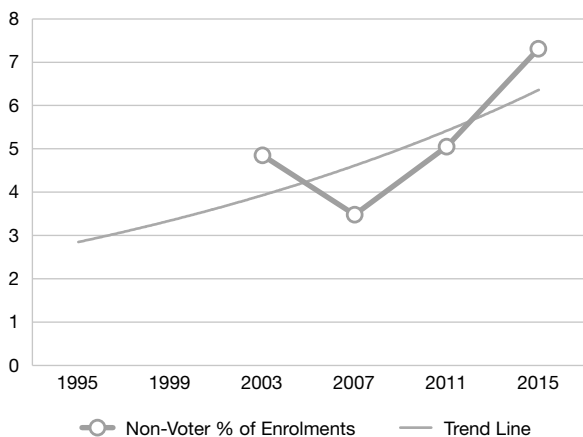
YEAR	NSW ENROLMENT	% OF TOTAL ELIGIBLE POPULATION
March 2015	5,040,662	96.5
June 2014	4,963,555	95.7
June 2013	4,868,528	94.9
June 2012	4,769,917	93.8

### Registered but not voting

While registering eligible voters automatically using SmartRoll gives us a way of identifying and communicating with them, it does not necessarily mean that those automatically registered will then take the next step and vote. This makes sense: eligible voters who have taken the trouble to register themselves are probably more engaged and therefore more likely to vote, than those who are automatically registered with no effort on their part. This effect can be seen in Figure 6 – Non-Voters as a Percentage of Enrolments, 1995 to 2015, which outlines that the percentage of non-voters has increased from 5.05% of enrolments in 2011 to 7.32% in 2015.

# Conducting Elections continued

**Figure 6 – Non-Voters as a Percentage of Enrolments, 1995 to 2015**



Therefore, while optimising enrolments is one key strategy in encouraging eligible voters to participate in elections, it is not sufficient in itself – we need to find other ways of encouraging people to vote.

### Voting formally or informally

Formal votes are cast in accordance with voting instructions and are therefore valid votes, which are counted towards a result.

We also monitor the level of informal votes, or those votes which are invalid (and therefore do not count towards an election result). Informal votes can be a protest (voting is compulsory, but one is not obliged to cast a formal vote); the result of human error; or a misunderstanding of the process or the forms to be completed.

In 2015 the state-wide informal vote was 3.4%, an increase from 3.2% in 2011. Since 1995 we have been monitoring the informal vote, the trend was initially downwards, but there has been a slow and steady increase in informality since 1999. While this trend was maintained in 2015, we did slow the rate of increase. This can be seen below.

**Figure 7 – Informality in State General Elections, 1995 to 2015**

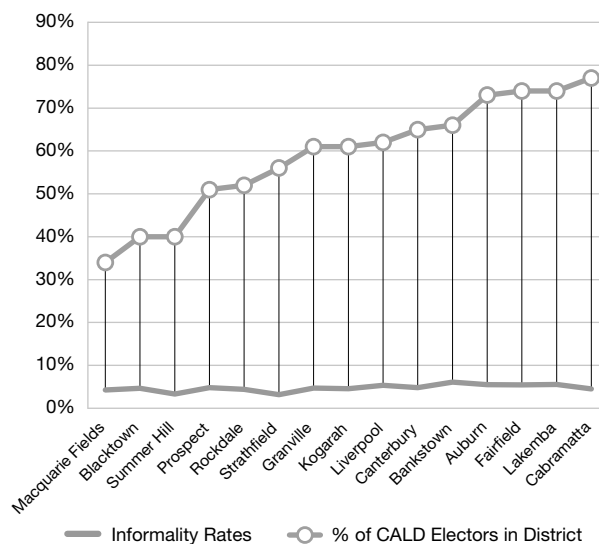
STATE GENERAL ELECTION	INFORMALITY %	CHANGE FROM PREVIOUS ELECTION %
2015	3.4	6
2011	3.2	14
2007	2.8	8
2003	2.6	4
1999	2.5	(52)
1995	5.2	N/A

All ten districts with the highest informality rates at the 2015 State General Election are in metropolitan Sydney:

- Bankstown 6.1%
- Lakemba 5.5%
- Auburn 5.5%
- Fairfield 5.4%
- Londonderry 5.4%
- Liverpool 5.4%
- Mount Druitt 5.3%
- Holsworthy 4.9%
- Prospect 4.8%
- Canterbury 4.8%

Nine of these ten districts (except Holsworthy) have a higher than average proportion of Aboriginal or bilingual residents, although there is not a direct correlation. Increasing numbers of electors with culturally and linguistically diverse (CALD) backgrounds do not result in a corresponding increase in the number of informal votes – see the Figure below. Further investigation is required in order to come to any firm conclusion on the relationship between informal voting and cultural and linguistic diverse backgrounds.

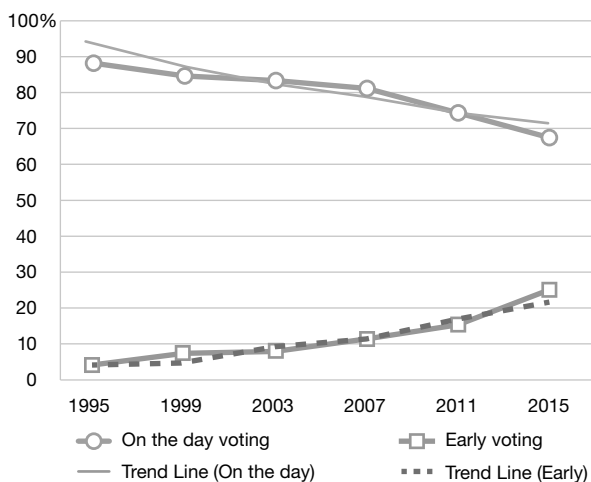
**Figure 8 – Informality rates vs CALD population, 2015**



### Voting Options

One way of increasing participation is to provide a variety of options for voting, which address the needs of modern voters. There has been a major ongoing shift in voters' preference to vote before election day. All States and Territories and the Commonwealth have seen an increase in electors using early voting over recent elections. Within NSW the greater use of early voting has been marked since the 1995 to 2015 State General Election as shown in Figure 9.

**Figure 9 – Trends Early Voting and Voting on Election Day, State Elections, 1995 to 2015**

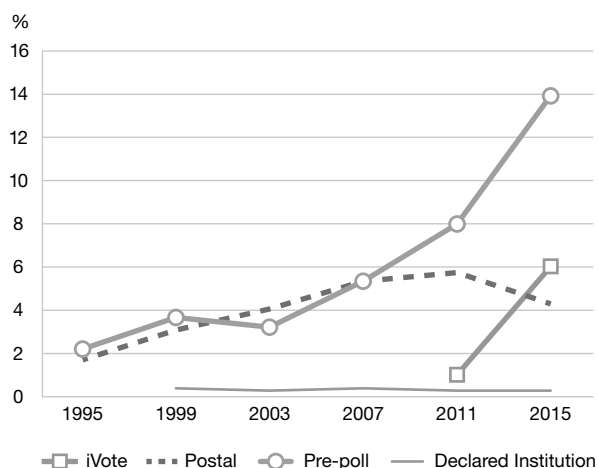


Our research indicates that, of survey respondents who used a method other than voting in-person on election day, around one-quarter were outside of the state on election day (23%), and a further one in ten were in NSW but more than 8km from a polling place (10%).

Fifteen percent of respondents said they had other commitments on election day, and 12% said it was easier and more convenient for them to vote by an alternative method. Ten percent were working on election day and unable to get to a polling place, while 11% either had a disability or were caring for someone who could not get to a polling place on election day (7% and 4% respectively).

Early voting options are: pre-polling; postal vote; iVote and voting at a Declared Institution (such as nursing homes). Their respective popularity since 1995 is shown below.

**Figure 10 – Popularity of Early Voting Methods, 1995 to 2015**



Voting in person on polling day remains by far the most popular method of voting, despite the strong trend to early voting.

**Voting electronically (iVote)**

iVote is growing in popularity, however, only certain categories of voter are entitled to use iVote. These are:

- Blind/vision impaired/illiterate voters
- Voters with other disabilities
- Voters who live 20km or more from a polling place
- Voters outside NSW on polling day

iVote was originally introduced in the 2011 State General Election to assist voters with a disability and those living remotely. By far the greatest proportion of users, however, are those interstate, as can be seen in the Figure below.

**Figure 11 – Categories of Voters using iVote State General Election 2015**

CRITERIA	iVOTE® TOTALS	TOTAL %
Blind/vision impaired/illiterate	4,818	2%
Other disabilities	12,714	4%
20km from a polling place	8,407	3%
Outside NSW on election day	257,730	91%
<b>Totals</b>	<b>283,669</b>	<b>100%</b>

There are many other voters who would prefer to vote online, however, the decision to extend electoral voting is a matter for the Government and the Parliament.

**Engagement with targeted community groups**

We attempt to reach all sections of the community to ensure that everyone has the information and means they need to exercise their democratic right to vote. This means that we need to develop more targeted material and approaches to reach parts of the community, including:

- People for whom English is not their first language;
- People with a disability, including blindness, deafness and intellectual disability;
- Aboriginal and Torres Strait Islander people; and
- People who are illiterate or with low levels of literacy.

We developed and implemented a community engagement strategy in the lead up to the 2015 State General Election. We then reviewed the strategy implementation, to evaluate its success and areas for improvement.

# Conducting Elections continued

The strategy had numerous components, but broadly fell into the following categories:

- a) Preparing targeted material, mainly available on our website;
- b) Consulting with specially appointed reference groups;
- c) Collaborating with other organisations such as the Australian Electoral Commission;
- d) Training staff; and
- e) A targeted recruitment campaign.

## a) Targeted material

We engage with targeted groups in the community primarily via our website which contains:

### Brochures

We developed “how-to-vote” brochures following a “storyboard” approach. This approach uses pictures (illustrations, pictograms, symbols etc.) and minimal text to provide information. It is effective in conveying a message simply in plain English and also useful for individuals with literacy and language needs.

An additional version was developed for Aboriginal electors using different illustrations.

### Easy Read Guides

Easy Read Guides are targeted at individuals who have an intellectual disability. We contracted to work with the NSW Centre for Intellectual Disability to review existing guides, resulting in less technical language and more plain English. Two of the four guides intended to be reviewed by the 2015 State General Election deadline were completed.

We also contracted with the NSW Centre for Intellectual Disability to send hard copies of the guides to their 500 members. In addition, the Guides were on our website and attracted visits/downloads as outlined below.

**Figure 12 – Accessing Easy Read Guides on the Commission Website, February-March 2015**

EASY READ GUIDES	
Easy Read Web page	809 visits
Easy Read Guide – How do I fill out my voting papers? (pdf)	223 downloads
Easy Read Guide – Get your name on the roll (pdf)	78 downloads

### Audio Clips

We produced Audio clips with ‘how-to-vote’ instructions to help people who have low vision or are blind and also to help people for whom literacy is an issue. The seven languages we used were:

1. English
2. Arabic
3. Cantonese
4. Italian
5. Greek
6. Mandarin
7. Vietnamese

The Audio clips were available on our website and could also be accessed at each polling place on election day. Unfortunately we were unable to track how many people used the clips on election day.

### Video Clips

We have four animations and a practice voting tool, which explain simply what happens on election day and how votes are counted.

### Auslan Video Clips

Auslan is the sign language of the Australian Deaf community. We have Auslan Video Clips on our website covering: the different levels of elections in Australia and how to enrol to vote.

We added another clip for these elections, explaining the redistribution. We had intended to produce another clip, explaining iVote but did not manage to do that before the 2015 State General Election or year end.

### Translated resources

We translated ‘how-to-vote’ material into 25 community languages. These were available for download from our website. They were also part of a multilingual guide available at every polling place. Single sheet instructions were also available at polling places in the languages prevalent in that district.

Overall, our evaluation of the effectiveness of the material on our website found that the levels of traffic were low – see Appendix 5 which shows how often each resource was accessed.

A key challenge for future strategies will be working out how to determine and meet actual demand, as opposed to producing material which we think will be useful. At the same time, we have to determine what additional work we can do to drive people to use these resources.

### b) Consultation with Reference Groups

In the lead up to the 2015 State General Election, we worked with three reference groups we had previously established:

- Equal Access to Democracy Disability Reference Group
- Aboriginal and Torres Strait Islander Reference Group
- Culturally and Linguistically Diverse Reference Group

We worked with these groups to help us with community engagement and to help identify barriers to participation. The groups consist of representatives from peak bodies, non-government organisations, and government organisations that provide services and advocacy. Reference group members also distributed information through their networks and community groups, creating interest and raising awareness about the NSW 2015 State General Election (and beyond).

We found that the reference groups added great value to our work. They provided valuable and positive feedback on draft materials and concepts proposed by stakeholders. They also gave us access to wider networks and distribution channels, as well as helping us engage their communities and have two-way communication.

### c) Collaboration with other organisations

Through our reference groups, we worked with a number of organisations to increase awareness of elections in NSW.

In addition, we worked with the Australian Electoral Commission to include a brochure about the state election in the existing New Citizen pack. These packs are provided to every new citizen in Australia. The pack already contained generic information about the three different levels of elections in Australia but no specific information about the 2015 State General Election. We developed a brochure using a storyboard approach to provide information about the 2015 State General Election. The brochure was included in the New Citizen packs from November 2014 to March 2015.

We also continued to work with the Australian Electoral Commission's Indigenous Participation Program.

Indigenous Australians are much less likely to enrol to vote than other Australians. Many of those who are enrolled do not vote. The Australian Electoral Commission established the Indigenous Electoral Participation Program in 2010 to close the gap in indigenous electoral participation.

We met regularly with the Indigenous Electoral Participation Program team during the year, working on building strong relationships. As a result, the team provided great assistance to us, raising awareness about work opportunities available at the NSW 2015 State General Election.

### d) Staff training

Providing good service, including being sensitive to voters' needs, is important in ensuring that voters feel welcome and encouraged when they participate in any electoral processes or when they try to access information.

During the year, we trained some categories of election staff in relation to customer service and cultural awareness, although the sessions we provided were quite short. For staff not having face to face training, we developed cultural awareness guides, however it was not compulsory to read them. At this stage, our Learning Management System does not record how many staff accessed the guides.

While we strongly support improved cultural awareness, achieving it successfully still presents some issues for us. The extent of training, the ways in which it is delivered, whether it is mandated and how we can track who has completed training are all matters for us to consider for our next major election.

### e) Targeted recruitment

To improve our service and reduce barriers to participation, we undertook to increase our numbers of 2015 election officials who are Aboriginal and Torres Strait Islander people or people with bilingual and multilingual skills.

We implemented targeted recruitment strategies across state electoral districts with high populations of electors who spoke a language other than English at home and Aboriginal or Torres Strait Islander people. We were successful in increasing the proportion of both bilingual and Aboriginal or Torres Strait Islander employed as election officials. See Appendix 6 for a list of state electoral districts participating in the targeted recruitment strategies.

The effect of our strategies to recruit additional Aboriginal and Torres Strait Islander employees and bilingual staff can be seen in Figure 13 – Recruitment of Aboriginal and Torres Strait Islander People, State General Election 2015, and Figure 14 – Bilingual Election Staff, State General Elections 2011 and 2015 which follows over the page.

# Conducting Elections continued

**Figure 13 – Recruitment of Aboriginal and Torres Strait Islander People, State General Election 2015**

TARGET	RESULT
Increase the pool of Aboriginal applicants	In 2011, 443 applicants identified as Aboriginal, whereas in 2015 this increased to 1,111 (an increase of 151%).
Increase the number of Aboriginal applicants employed	In 2011, we recruited 267 Aboriginal people. We increased this by 48% to 395 Aboriginal recruits in 2015. Across the whole of NSW an employment target of 2.0 % was reached.
Achieve an employment rate of 2.6% for Aboriginal and Torres Strait Islanders in 23 nominated districts.	18 of the 23 districts met or exceeded the target. Full details are in Appendix 7.

We also increased the number of bilingual staff, as outlined below.

**Figure 14 – Bilingual Election Staff, State General Elections 2011 and 2015**

PILOT STATE ELECTORAL DISTRICTS	2011	2015	CHANGE
Auburn	129	156	▼
Bankstown	168	166	▲
Blacktown	29	36	▲
Cabramatta	234	246	▲
Canterbury	162	177	▲
Fairfield	183	155	▼
Granville	149	143	▼
Kogarah	65	132	▲
Lakemba	155	179	▲
Liverpool	96	130	▲
Macquarie Fields	35	42	▲
Smithfield/Prospect	85	67	▼
Rockdale	68	116	▲
Strathfield	143	104	▼
Marrickville/Summer Hill	62	73	▲
Total	1,763	1,922	▲
ALL STATE ELECTORAL DISTRICTS	2011	2015	
Bilingual staff	3311	3660	▲
Total Staff	24,003	22,384	▼

The proportion of bilingual staff has risen from 13.8% in 2011 to 16.4% in 2015 despite the overall reduction in total numbers of staff.

## 2. Ensuring participants feel well-informed and are satisfied by election services

We ran an advertising campaign before the election, with messages about:

- Enrolment;
- Early and postal voting;
- Voting correctly; and
- Election results.

We also ran specific advertising for initiatives like iVote.

The campaign used traditional media such as television, radio and print, and more innovative strategies such as social media and SMS. We created Facebook, Twitter and Youtube accounts to encourage awareness of and engagement with the election.

Advertising primarily directed electors to our website as well as to our Telephone Enquiry Service. More details about the campaign and media used can be found at Appendix 8.

We also commissioned research both to help determine the campaign message and its effectiveness, doing research before the campaign to establish a benchmark and post-campaign research to measure change. Significance testing was performed on the differences between responses in the benchmark and the post-campaign surveys and between those who had seen or heard the campaign and those who had not.

Overall, the aim of the campaign evaluation research was to determine the effectiveness of our entire communications campaign prior to the 2015 State General Election, and of each of its components, so that we can use evaluation insights at subsequent elections.

The research found that our advertising campaign had a positive impact on attitudes towards voting and the State Government. Those who had seen or heard the campaign were more likely to rate both voting and State Government decisions as important (96% for each, compared with 86% and 83% respectively among those who had not), and State Government decisions as impactful (93% compared with 83%).

While the campaign did not significantly impact likelihood to vote, it did appear to impact intention to cast a valid vote (98% of those who had seen or heard the campaign, compared with 90% among those who had not).

The campaign had a greater impact on younger respondents. For example, those in the 18-44 age bracket who had seen or heard the campaign were more likely to rate State Government decisions as important (92% compared with 80%), while no significant impact was observed among those aged 45+. Furthermore, the campaign appeared to increase the likelihood of younger respondents saying they would cast a valid vote (97% compared with 85%).

Our success in scheduling and targeting messages was measured by traffic to the Commission's website and call centre, election metrics and post-election surveys. It is difficult to directly link advertising with outcomes, as elector behaviour is complex and depends on many factors, including engagement with the political process and specific issues pertinent only to a particular electoral district. The advertising campaign competed with media coverage and party political advertising, adding to the difficulty of assessing the effectiveness of the Commission's information campaign.

Before election day, around three-quarters of respondents were able to correctly identify the date of the election (72%). Seeing or hearing the Commission's advertising campaign did not appear to impact awareness of the election date but did appear to increase the likelihood of both calling the enquiries line and visiting [www.votensw.info](http://www.votensw.info) to find out the date.

Respondents generally felt informed about finding out where to vote on election day, with almost four in five (78%) indicating they felt informed. Seeing or hearing the Commission's advertising campaign appeared to increase the likelihood of both calling the enquiries line and visiting [www.votensw.info](http://www.votensw.info) for this information.

In the period leading up to the election, there were 1.45 million visits to the [www.votensw.info](http://www.votensw.info) website, 90% of these were unique visits. This represents about 25% of all eligible voters in NSW.

The Commission surveyed candidates and political parties to assess their satisfaction with the 2015 State General services.

## State By-elections

We conducted two State by-elections during the period. By-elections are held when a member's seat in the Legislative Assembly becomes vacant. Vacancies occur when members retire mid-term, resign, die or for some other reason cease to represent their electorate.

In the 2014-15 reporting period, two by-elections were conducted.

**Figure 15 – State By-elections 2014-15**

ELECTORATE	DATE OF BY-ELECTION	PERFORMANCE MEASURES	WERE MEASURES MET?
Charlestown	25 October 2014	Deliver on time and within budget	Yes
Newcastle	25 October 2014		

## Local Government By-elections

We conducted nine by-elections for Local Government. In each case, our performance measures of delivering the by-election on time and within budget were met.

**Figure 16 – Local Government By-elections 2014-15**

BY-ELECTION	DATE
Leichhardt Municipal Council – Birrabirragal/Balmain Ward	2 August 2014
Cobar Shire Council	23 August 2014
Urana Shire Council – C Ward	23 August 2014
Blue Mountains City Council – First and Second Wards	15 November 2014
Marrickville Council – West Ward	15 November 2014
Newcastle City Council – election of Lord Mayor	15 November 2014
Clarence Valley Council	21 February 2015
City of Newcastle Council – Ward 3	21 February 2015
City of Ryde Council – East Ward	21 February 2015

Reports on the conduct of by-elections are prepared by the Commission and provided to the Parliament and Premier in case of State by-elections, and to the Minister, Local Government and the relevant council for Local Government by-elections. These reports are available on our website.

# Conducting Elections continued

## Commercial Elections

We conducted 23 elections for Clubs, Statutory Boards, Unions and other bodies, a full list of which is at Appendix 9.

Our major performance measure for commercial elections was revenue. Our target revenue for the financial year was \$1.202M. This target was exceeded by almost \$30,000.

A secondary target was to increase the number of new elections and again this was achieved – we conducted an additional four elections, over and above those for which we had planned.

## Assisting other jurisdictions

We offered early polling places for a number of jurisdictions to their electors who were in NSW at election time. Again our performance measures were to deliver the specified services on-time and within budget. This occurred in all but one case. We had problems with the electronic mark-off system for the Victorian State Election. The problems were resolved, but the system only worked effectively for 50% of pre-poll period. As a result, the electronic mark-off system has been improved to prevent the re-occurrence of such problems.

**Figure 17 – Early voting services offered to other jurisdictions 2014-15**

JURISDICTION	ELECTION	DATE
New Zealand	General Election	20 September 2014
Western Australia	District of Vasse	18 October 2014
Victoria	State Election	29 November 2014
South Australia	District of Fisher	6 December 2014
Queensland	State Election	31 January 2015
South Australia	District of Davenport	31 January 2015
Victoria	District of Gippsland South	14 March 2015
Tasmania	Legislative Council	2 May 2015

“Commercial elections target revenue for the financial year was \$1.202M. This target was exceeded by almost \$30,000.”

## Looking Forward – Challenges and Opportunities in 2015-16

In 2015-16, we will conduct the Aboriginal Land Council Elections which occur every four years. The major challenge in conducting this election will be engaging the NSW Aboriginal population and increasing the voter turn-out as compared to the 2011 election. Providing equal access to all voters, including those in remote locations, without significantly increasing the election budget will be another challenge.

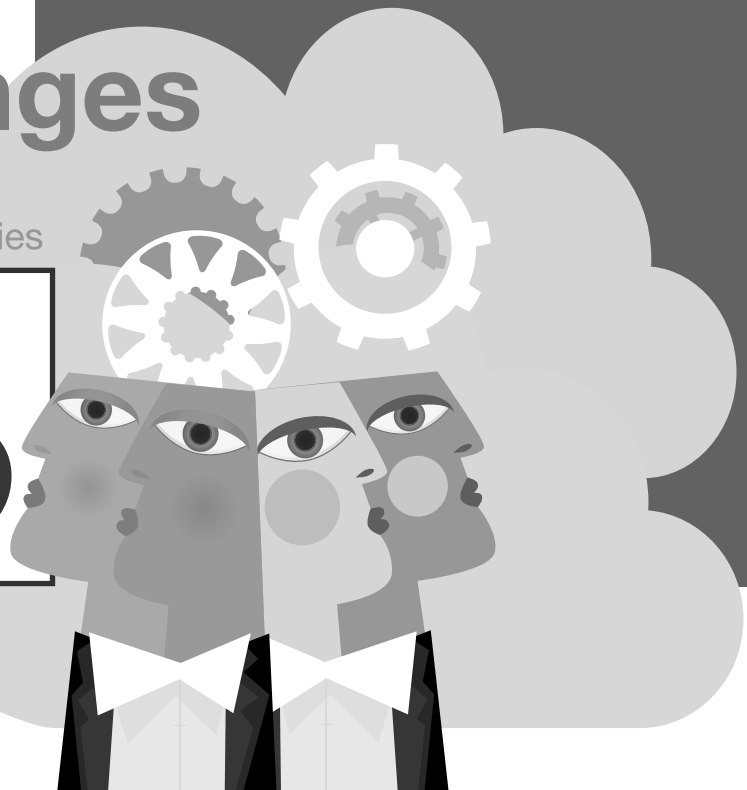
We will also be planning for the 2016 Local Government Elections which will be held in 2016-17. These will possess an additional element of challenge arising from the context of the ‘Fit for the Future’ reform process applying to NSW Local Government councils.

The reform process may result in council amalgamations that impact upon the conduct of the Local Government Elections. The Commission will be engaging with both the State Government and councils to be informed of developments and to build these into the planning for the 2016 Local Government Elections. We will incorporate the lessons we’ve learned from the 2015 State General Election into our planning to meet these challenges.



Looking Forward  
**Challenges**  
History of Change  
Implementation  
Opportunities

**3**



## ► PART 3 Improving Elections

**This section outlines the NSW Electoral Commission's efforts in improving its performance in providing election services.**

Improving Elections	32
A History of Change	33
Changes implemented in 2015	34
2016 Local Government Elections	38
Looking Forward – Challenges and Opportunities in 2015-16	38

# Improving Elections

The NSW Electoral Commission reviews its performance following each major election event in order to determine opportunities to improve service and the voting experience.

Increasingly, technology is helping to streamline what we do, making the overall process easier – whether you are a candidate needing to register, a Commission employee providing advice or an elector casting a vote.



**1902**  
was the first state election where both men and women could vote

**1928**  
voting changed from voluntary to become compulsory

**1918**  
postal voting became available and was useful for remote areas

**2015**  
postal voting is now declining and pre-poll and electronic voting are becoming more popular

While technology is a big contributor to improved service, changing processes can also lead to better service or faster turnaround. We are also mindful of the review commissioned by the Australian Electoral Commission and conducted by Mr Mick Keelty AO into the 2013 Western Australian Senate Election. The resulting Report, released in December 2013, contained 32 findings and recommendations. The recommendations addressed matters such as logistics and material management, contract management, ballot paper security, processes, procedures and compliance, as well as organisational culture. All of these are relevant to our election operations and we have carefully studied the Keelty Report and taken its findings into account in our election plans.

While we evaluate our performance at each election and also use input from community reference groups to adjust our election services, we must make any changes within legislative parameters.

The *Parliamentary Electorates and Elections Act 1912* largely determines the services and flexibility we can provide electors, candidates and parties. Legislative amendments for the 2015 State General Election had been mooted but the Government did not introduce them into Parliament. Consequently, we were unable to introduce some proposed changes to better meet the needs of election participants. This affected our 2014-15 plans for improving services to electors, candidates and parties.

## A History of Change

The first State elections in which both men and women could vote took place in 1902. At this point, votes could only be cast in person. Voting was also voluntary – only becoming compulsory in 1928. The Legislative Council, however, was not popularly elected until after a 1978 referendum.

**Postal voting** became possible in 1918, via legislative change, and was first used in the 1920 State General Election. This allowed anyone unable to attend a polling place in person on election day to still cast a vote. This would have been useful to those in remote locations, anyone working or housebound on election day. Postal voting continues to be an option in 2015, however, its popularity is declining as other options such as pre-polling and iVote have been introduced.

**Absentee voting**, where a voter is able to attend in person on election day to vote in a State General Election or by-election but not in their own electorate, was subsequently introduced and is useful for electors who are travelling.

**Pre-poll voting** is also useful for electors who are unable to vote on election day, often because of work or travel. They can instead attend a pre-polling place in the district in which they are enrolled and cast their vote early. This process was made even easier in 2011 when the requirement to complete a written declaration confirming that the voter was unable to attend a polling place on election day was removed.

**Fixed term elections** were introduced by referendum in NSW in 1995. One consequence of this is that it is much easier for the Commission to plan for each State general election and to fully trial new approaches before each election.

Our **website** was first available for the State General Election of 1999. Since then, the website has developed to be a major communication tool – we have used it to provide information to electors and stakeholders about how and when to vote or nominate as a candidate. The website also provides information in a variety of languages and formats, to suit different voters. It is also a source of information about election results and electoral representation. Much more recently, the website has begun to be not just a static source of information, but a means of allowing lobbyists to register and allowing political parties to manage their registration with the Commission. In the lead up to the 2015 State General Election, there were 1.45 million visits to the [www.votensw.info](http://www.votensw.info) website and 90% of these were unique visits.

The 2007 State General Election featured our first use of a **Virtual Tally Room**. The Commission's Virtual Tally Room contains results for the Legislative Assembly and Legislative Council Elections and is a website which begins operating once the polls close on election day. The Virtual Tally Room displays election results as they become available, progressively throughout election night as well as the subsequent final counts.

In 2009 laws were introduced allowing the Commission to access information from other NSW government agencies to enrol eligible voters or to update their enrolment details using an automated system called **SmartRoll**. The Commission now accesses information from agencies, such as Roads and Maritime Services, the NSW Board of Studies and the NSW Registry of Births, Deaths and Marriages, to help keep the electoral roll accurate and up-to-date.

The 2011 State General Election saw a number of significant improvements introduced:

- Being able to **enrol to vote on election day**. Previously there had been a cut-off date for enrolment a number of days before the State general election and those not registered by that cut-off date could not vote. Changing legislation, as well as technology, allowed for on-the-day-enrolment, helping to optimise the number of electors participating in the democratic system;

# Improving Elections continued

- **iVote** – this is a system which allows people to vote electronically, either over the phone or the internet. The system is currently restricted by legislation to those electors with a disability, those living in remote locations and those out of the State on election day;
- In 2011 approximately 50,000 electors used iVote, primarily those who were out of the State on election day. This increased to over 283,000 in 2015, with the bulk of users again being outside NSW on election day. The Commission is a world leader in the use of electronic voting methods and we continue to review and improve the iVote system to ensure it remains robust and at the forefront of voting technology;
- We provided **electronic mark off** for pre-poll and election day voters at Sydney Town Hall. Being able to look up electors and mark them off electronically meant that it was easier and faster to find people on the roll and to give them the correct ballot papers;
- Since the 2011 State General Election, we have provided **electronic look up** for voters in most pre-poll locations. Being able to look up electors and mark them off electronically meant that it was easier and faster to find people on the roll and to give them the correct ballot papers; and
- Over 60% of the 8,173 electors voting at Sydney Town Hall in 2011 were not voting in their own electoral district. Rather than pre-print numbers of ballot papers for each of NSW's 93 electoral districts, we **printed the Legislative Assembly papers on demand** for each individual voter.

This meant voters no longer needed to check which electorate they were enrolled in or to queue at a table for that electorate. Voters from outside the Sydney electoral district could be directed to any one of the available 30 tables, where they could be marked off the roll and have the ballot papers for their correct electorate printed off and given to them. This reduced waiting times and improved handling times. In addition, printing ballot papers on demand meant we needed to pre-print fewer ballot papers for each electorate – saving approximately 10,000 ballot sheets

97% of survey participants in 2011 said that they were happy with their experience voting at Sydney Town Hall. This feedback reinforced the need to continue this innovation in 2015 as voting at Sydney Town Hall had been the subject of many complaints at previous State General elections.

## Changes implemented in 2015

Prior to the 2015 State General Election, we trialled a variety of initiatives at by-elections. These initiatives included: centralised packing of ballot paper materials; changes to management of ballot paper security; process changes for complex voting; different approaches to staff training, as well as the use of tablets in polling places. As a result of these trials and our earlier election experience, we introduced or expanded the following initiatives at the 2015 State General Election:

### We continued to expand our use of 'multi-district polling places'.

- These allow voters from up to four districts to have their name marked off and cast an 'ordinary' vote in the electoral district in which they are enrolled, regardless of whether the multi-district polling place is in that electorate. Ordinary votes do not require the voter to complete a declaration about why they need to vote in a particular way. This makes it simpler both for the voter and the Commission. Before multi-district polling places were introduced, voters not attending to vote in their own electorate would have had to complete an absentee vote which requires them to also complete a declaration.
- In the 2015 State General Election, the Beverly Hills Girls High School was a polling place for the electoral districts of Canterbury, Kogarah, Lakemba and Oatley, while Dural Public School was a polling place for the electoral districts of Castle Hill, Epping, Hawkesbury and Hornsby. In 2011 we had 452 multi-district polling places, whereas in 2015 we increased this to 507.

### We expanded the use of electronic look up of electors in polling places.

- Electronic look up, using mobile devices, improves polling place staff productivity by enabling them to address enquiries faster by locating the necessary information promptly and accurately.

### At Sydney Town Hall, we made electronic mark off a self-service.

- As a result electors on the roll could look themselves up and generate a docket allowing them to collect the correct ballot papers from officials. As 77% of all voters at Sydney Town Hall were voting outside their electoral district, being able to automatically generate a docket which they could exchange for their electoral district ballot papers was a great help in speeding the process and reducing voter confusion.

**In the lead up to State elections, we held candidate information seminars across the State.**

- In 2015, for the first time we offered **candidate webinars**, in addition to the more traditional face to face seminars. Webinars are live, internet-enabled, interactive sessions where candidates can ask and have questions answered. Webinars are particularly useful for candidates in more remote areas, who do not have to travel long distances to attend face to face sessions.

We ran two webinars with 15 to 30 attendees. We also published video to YouTube of one of the webinar sessions. Sessions were advertised via Facebook, our website and by emails to political parties. Each webinar was delivered by a subject matter expert, supported by a system administrator and ran smoothly. The webinars were also well received by those attending, indicated both by questions at the end of the sessions and by survey feedback.

**We used a computer counting engine for the Legislative Assembly ballot papers, entering information from the papers into the counting engine.**

- This improved the accuracy of the count and distribution and enabled better analysis of the results including Two Party Preferred, Two Candidate Preferred and results booth by booth.

**We organised for forms and other materials needed in polling places to be packaged centrally.**

- This significantly reduced the workload for Returning Officers (effectively electoral district Managers), who previously had to manage this work for each of the polling places in their electorate. It also meant that we could employ some Returning Officers on a part-time basis, which was more cost-effective and flexible.

**Adapted iVote website so that it allowed electors to register online to receive postal vote application forms.**

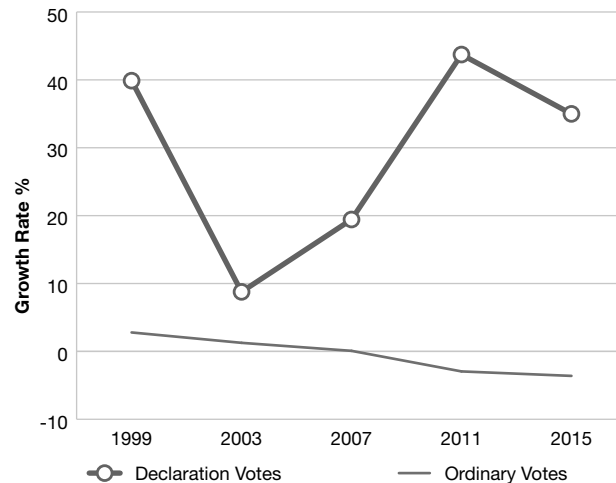
- iVote also alerted any of those voters if they were also eligible to cast their vote electronically. A key criticism of iVote at the 2011 election was that voters using the system were unable to verify that their vote was recorded as they intended it. We therefore also developed and implemented voter preference verification for voters using iVote at the 2015 election.

Following the 2015 State General Election, we evaluated satisfaction with the iVote system through a general survey of electors and a survey specifically of iVote users. 97% of iVote users were satisfied with the system, mainly because of its ease and convenience (85% of users). Respondents also liked that it was quick and secure. Those who were dissatisfied generally felt so because of technological issues. When we make future improvements to iVote, we will need to address some technological issues, to increase awareness among electors eligible to use iVote and also address perceptions some voters have about iVote security.

**We centralised counting of declaration votes.**

- Declaration votes, which include absent, pre-poll, postal and provisional votes, require the elector to sign a declaration before the vote can be accepted. In recent times, there has been significant growth in declaration votes including iVote, Absent, Silent, and Enrolment. This can be seen in Figure 18. At the 2011 State General Election, there were 734,832 declaration votes compared to 1,501,494 in the 2015 State General Election. This reflects the trend to vote in alternative ways other than in person on election day.

**Figure 18 – Changes in Growth Rate of Ordinary and Declaration Votes, State General Elections 1999-2015**



The process of managing and counting declaration votes is relatively complex. The rules also differ depending on the type of declaration vote.

# Improving Elections continued

Previously these votes had been processed at each Returning Officer's office and required local staff to understand complex processing procedures for various types of votes. This was demanding of staff, as well of the training effort needed to support and properly train them. Considering the need to count ordinary ballot papers at the same time, and within tight timeframes, processing declaration votes posed a significant strain on Returning Officers' resources.

In 2015, for the first time we centralised processing of all declaration votes. This minimised handling of declaration votes, which is inherently more efficient. Previously declaration votes could be received directly at a Returning Officer's office or redirected to a Returning Officer's office if they had been received centrally.

The other benefits of centralised processing of declaration votes are:

- a) It simplified processing requirements in the Returning Officer's office. After close of poll, the Returning Officer's staff can focus on the counting and results of ordinary ballot papers without dealing with the complexity of declaration vote processing;
  - b) Transparency of the declaration vote counting and results is increased – scrutineers and other stakeholders have access to counting and results of declared votes from all electoral districts in one location;
  - c) The training effort is reduced as specialised staff can be allocated to counting the declaration votes; and
  - d) We are better able to prioritise counting for those districts with very close contests, ensuring that declaration vote results were available in a timely fashion.
- We accepted **online registration of 'how-to-vote' materials** from candidates, registered political parties and members of the public.

'How-to-vote' or electoral material broadly means a 'how-to-vote' card, handbill, pamphlet or notice containing electoral matter that is intended to affect the result of an election or to influence an elector in the casting of his/her vote.

Registered political parties, candidates, groups and other organisations or community groups may distribute electoral material during the course of an election, but this material must be registered with the Commission in advance.

It is an offence to distribute unregistered electoral material on election day.

“The new centralised processing system minimised handling of declaration votes in 2015”

The *Parliamentary Electorates and Elections Act 1912* does not allow the Commission to register material which:

- a) Does not include the legible name and full address of the person on whose instructions the material was printed; and the name of the printer and full address at which it was printed;
- b) Does not clearly identify the registered political party, group, candidate or other person/organisation on whose behalf the material is being distributed;
- c) Could result in an elector casting an informal vote; or
- d) Contains words that are obscene or offensive.

In addition, if the electoral material contains a representation of a ballot paper or directions on how-to-vote, then the Commission has to consider a number of other factors to ensure procedural requirements are met and that the material is accurate and not misleading.

- For the 2015 State General Election, we developed an online **'how-to-vote' application and material submission and review system**.

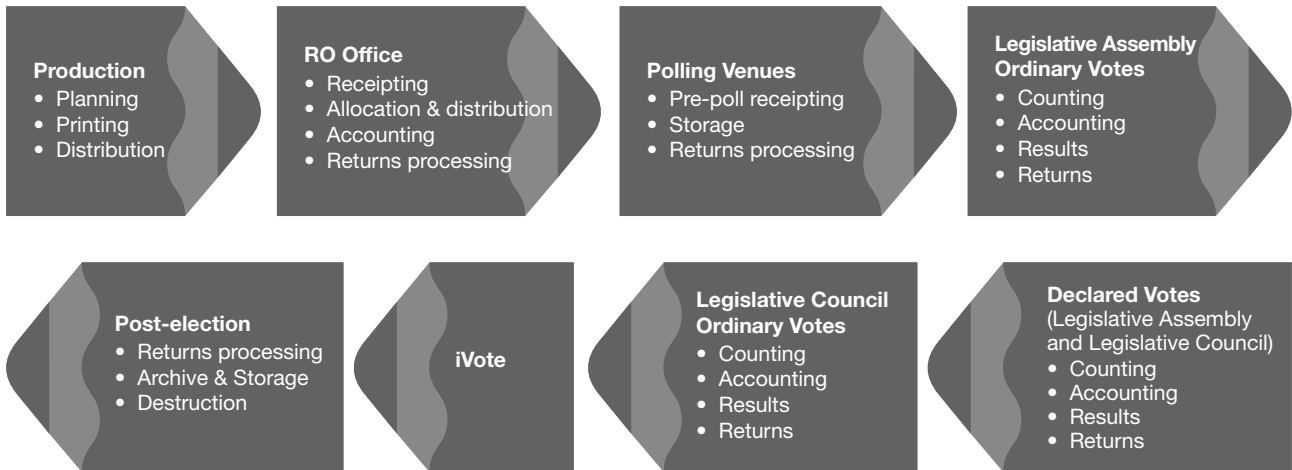
The great majority of parties, groups and candidates used the online service themselves, without additional help other than that provided (including videos) to submit their applications and materials and to receive the outcome of the review result. For those who were unable to use the service or had trouble, we provided a full-time support person during the registration period.

The automated system and process were very efficient and enabled submissions to be submitted, reviewed and determined within 24 hours – in most cases this was between one to two hours for the complete process, unless extra support was required.

**We reviewed and improved ballot paper management.**

- Figure 19 provides an overview of the ballot paper life cycle from planning to final storage or destruction at the end of the process.

**Figure 19 – Ballot Paper Lifecycle Overview**



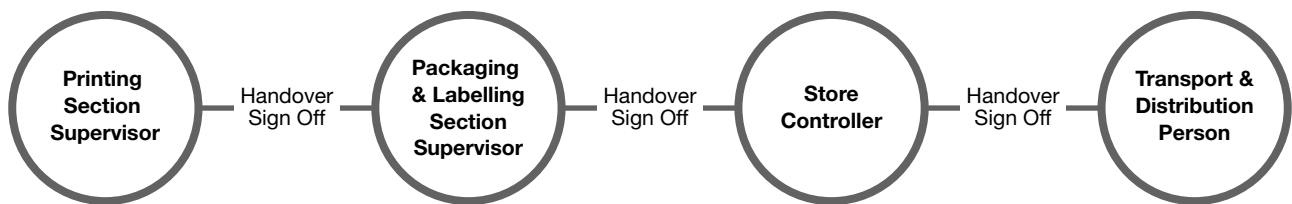
In reviewing our management of ballot papers, we looked at our security measures at all the stages of the ballot paper life cycle; we improved tracking and identification of papers; reduced handling and process steps and emphasised the concept of custodianship.

The concept of custodianship is applied uniformly across the lifecycle of ballot papers starting from the printer. At any point in the process there is one and only one custodian of the ballot papers who has complete responsibility for the security of ballot papers. This is applied throughout the supplier processes by ensuring a proper hand over and sign off is in place for each transfer, from printing press to finishing to store to transporter. The ownership and accountability lie with the person taking custody until it is handed over to next process. The training process ensures all custodians in the process are aware of their responsibilities.

The security of ballot papers is critical throughout their lifecycle. Security measures may include but are not limited to the following:

- Physical security perimeter;
- CCTV in critical areas of ballot paper storage and processing;
- Physical entry controls – photo ID or key card access for team members;
- Segregation of ballot papers from other materials;
- Secure disposal of waste only after authorisation from Commission;
- Transport vehicle security – selection and approval of vehicle type;
- Boxes with tamper proof mechanism and unique identifying number; and
- Proof of delivery signatures collected and entered into tracking system.

**Figure 20 – Custodianship during Production and Distribution**



# Improving Elections continued

## 2016 Local Government Elections

The Local Government elections will be held in September 2016. We are already planning service delivery for these elections, bearing in mind all of the lessons learnt in the 2015 State General Election.

This will be second tranche of Local Government elections where councils can decide whether they will use the Commission to conduct their elections. Legislative provisions required councils to make their decision by March 2015 and to finalise service level agreements by June 2015.

Of the 152 NSW Local Government councils, 142 have resolved to have the Commission conduct their 2016 elections, nine councils have chosen to administer their own elections and one council (Central Darling) is in administration and will not require an election in September 2016. Contracts have been signed with all the 142 councils for which we will conduct elections.

There were three challenges associated with the successful conclusion of this process. The first was in ensuring that all resolutions were passed and the subsequent contracts were signed by the deadlines set by the legislation.

The second was in negotiating a standard contract with the councils. While this was not necessarily straightforward given the differing expectations across 142 councils, we were successful in this initiative.

The third challenge was the context within which councils were making their decisions and negotiating the service level agreements. At that time, council were developing their responses to the NSW State Government's 'Fit for the Future' reform initiative. Due to the uncertainty associated with the ongoing nature of that process, councils were concerned they would be committed to expenditure with the Commission even if they were amalgamated with other councils. This issue required significant exploration and discussions with many councils to reach an outcome satisfactory to the councils and the Commission.

The overall process has been a major change from the way we have dealt with councils in the past. We acknowledge that this will be an evolving process and one the Commission is committed to ensuring good outcomes for both councils and the Commission.

## Looking Forward – Challenges and Opportunities in 2015-16

The major challenge in providing improved election services throughout 2015-16 will be associated with the 2016 Local Government Elections. We will need to bring all of our expertise and experience to bear to meet the challenges posed by the uncertainty associated with the 'Fit for the Future' initiative which may see council amalgamations, completely new council boundaries and time pressures in finalising key decisions. We have in mind a number of improvements and initiatives we would like to put in place for these 2016 Local Government Elections but these may be dependent upon the outcomes and timing of the Local Government reform initiative.

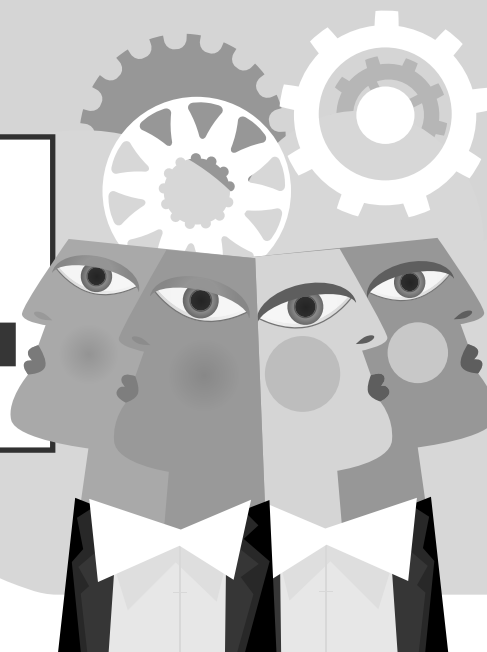
It is possible that there may be some legislative changes that impact both the Commission and councils. We are clear that we will need to be both flexible and agile in meeting any unforeseen developments that require adjustments to our planning.

“The overall process has been a major change from the way we have dealt with councils in the past. We acknowledge that this will be an evolving process and one the Commission is committed to”



Public Funding  
**Donations**  
 Political Donations  
 Communication  
 Compliance and enforcement  
 Lobbyists

**4**



► **PART 4**  
 Public Funding, Donations  
 and Lobbyists

**This section outlines the NSW Electoral Commission’s activities and performance in the public funding of elections, disclosure of political donations, lobbyists and compliance and enforcement activities.**

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Compliance	49
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# Public Funding, Donations and Lobbyists

**The NSW Electoral Commission regulates compliance with the registration, funding and disclosure provisions by political parties, elected members, candidates and third-party campaigners. We also maintain registers of political donations, as well as a register of lobbyists.**

To ensure adherence to legislative requirements around funding, whether public or via donations, we undertake extensive compliance work and have recently been given power to investigate and prosecute electoral and lobbyist offences.

In addition, we provide support to stakeholders through seminars, guides, fact sheets, policies, presentations and conferences, to help them meet their obligations.



**\$0.00**  
there is no public funding for Local Government Elections, parties or candidates for councils in NSW

**4%**  
the number of first preference votes a State General Election candidate requires in their district to receive public funding

**\$4.00**  
the amount distributed to a eligible candidate not endorsed by an eligible party for a first preference vote in the Legislative Assembly

**\$4.50**  
the amount distributed to an eligible candidate not endorsed by an eligible party for a first preference vote in the Legislative Council

## Overview

Until 30 November 2014, the Election Funding Authority of NSW (EFA) administered the provisions of the *Election Funding, Expenditure and Disclosures Act 1981* (the EFED Act) and the *Election Funding, Expenditure and Disclosures Regulation 2009* (the Regulation). In doing so, the EFA registered candidates, groups, third-party campaigners and their agents; received and processed disclosures of political donations and electoral expenditure; received and processed claims for payment; and enforced compliance with the EFED Act by election participants.

During the year, the *Electoral and Lobbying Legislation Amendment (Electoral Commission) Act 2014* [the ELLAEC Act] was proclaimed. Amongst other things, the Act abolished the EFA and conferred its functions on the Commission. The EFA therefore ceased to exist on 30 November 2014.

Abolition of the EFA was consistent with a 2013 recommendation by the Parliamentary Joint Standing Committee on Electoral Matters. The Committee, in its *Review of the Parliamentary Electorates and Elections Act 1912* (PEEA) and the EFED Act, found that the electoral legislation required a comprehensive review with a focus on consistency, functionality and modernisation. The Committee recommended a new electoral act for NSW that would cover both the conduct of State elections and the regulation of campaign finance and disclosures, and that the new Act be administered by a single statutory corporation.

The Committee's recommendation was accepted and consequently the EFA was abolished and its functions moved to a reconstituted Commission. The ELLAEC Act also inserted new objectives into the EFED Act, emphasising transparency and the reduction of undue influence in the political system.

The ELLAEC Act gave the reconstituted Commission a clear mandate to investigate and enforce compliance with the PEEA and the *Lobbying of Government Officials Act 2011* (in addition to the EFED Act), as well as the same investigative functions as the EFA previously had under the EFED Act for the purpose of compliance activities across all Acts.

The ELLAEC Act further established the Commission as an independent regulator of lobbyists, enabling it to investigate alleged breaches of a code of behaviour for lobbyists and to impose sanctions, which could result in lobbying firms being removed from a Register of Lobbyists and other organisations being placed on a watch list. These provisions respond to recommendations made by the Independent Commission Against Corruption in a 2010 report entitled

“Investigation into corruption risks involved in lobbying”. In particular, the recommendations provided a legislative basis for the regulation of lobbying and to appoint an independent body to maintain and monitor the Register of Lobbyists and to impose sanctions for breaches.

The Commission's significant responsibilities therefore include regulating disclosures of, and public funding for, eligible candidates and parties in accordance with legislation as well as enforcing compliance with electoral and lobbyist legislation and the EFED Act.

“The Election Funding Authority was abolished on the commencement of the ELLAEC Act, 1 December 2014”

## Public Funding of Elections

Public funding is available to reimburse eligible registered political parties, candidates and elected members for certain expenditure incurred up to limits specified in the EFED Act. This is separate from the public funding provided to conduct the 2015 State General Election and to run the Commission, which is outlined in Part Six.

There is no public funding for Local Government elections in NSW, Local Government parties or for elected members of local councils.

There are three funds from which State registered parties, candidates, and elected members can claim public funding:

- The **Election Campaigns Fund** provides public funding to eligible parties and candidates for electoral communication expenditure incurred at a State election or by-election;
- The **Administration Fund** distributes public funds to eligible parties and independent Members of Parliament in respect of their annual administrative expenditure; and
- The **Policy Development Fund** may be accessed by a party not eligible for payment from the Administration Fund for their annual expenditure on policy development.

# Public Funding, Donations and Lobbyists *continued*

## Changes to Funding for the State General Election

The *Election Funding, Expenditure and Disclosures Amendment Act 2014* which commenced on 28 October 2014 increased the maximum amount which can be claimed from the Administration and Policy Development Funds by parties and elected members.

In addition, the Amendment Act changed the model of funding under the Election Campaigns Fund for the 2015 State election. Previously, parties and candidates could claim back a proportion of their expenditure on electoral communication during the capped campaign period. This proportion of expenditure that could be claimed reduced as the spending of a candidate or party approached the applicable expenditure cap. This was replaced with a funding model based on whichever is the lesser of a “dollar per vote” or actual expenditure amount, which reflects models used in other Australian jurisdictions whereby the amount an eligible party or candidate can claim depends on the first preference votes they receive in the election.

Under the scheme, public funding is available to eligible parties and also to eligible candidates who are not endorsed by an eligible party.

A party is eligible if, among other things, it is a registered party and the total number of first preference votes received by the party’s endorsed candidates in either the Legislative Assembly or Legislative Council election is at least 4% or at least one endorsed candidate of the party is elected.

A candidate is eligible if, among other things, they are a registered candidate and the candidate receives at least 4% of the first preference vote in their district (in the case of a Legislative Assembly candidate) or, in the case of a Legislative Council candidate, the candidate was not a member of an endorsed group and receives at least 4% of the first preference vote in the Legislative Council, or the candidate is elected.

## Public funding for parties and for eligible candidates

Under the scheme the amount of public funding to be distributed from the Election Campaigns Fund to an eligible party, for the 2015 State General Election, is the lesser amount of the following:

- \$4 for each first preference vote received by the party’s endorsed candidates in the Legislative Assembly and \$3 for each first preference vote received by the party’s endorsed candidates in the Legislative Council; or
- The total amount of actual campaign expenditure incurred by the party and all of its endorsed candidates.

If the eligible party endorsed fewer than 10 candidates in the Legislative Assembly and none of those candidates were elected and the candidates did not receive at least 4% of the first preference vote across all Legislative Assembly districts, then the amount of funding is \$4.50 for each first preference vote received by the party’s endorsed candidates in the Legislative Council or the total amount of actual campaign expenditure incurred by the party and all of its endorsed candidates, whichever is the lesser.

The amount to be distributed to an eligible candidate who is not endorsed by an eligible party is \$4 for each first preference vote received by the candidate in the Legislative Assembly or \$4.50 for each first preference vote received by the candidate in the Legislative Council.

## Funding caps

In addition to the rules above, there are also maximum limits on the amounts that parties and candidates can spend on electoral communication expenditure during the capped campaign period. The caps in relation to spending at the 2015 State General Election are outlined in Figure 21.

**Figure 21 – Expenditure caps applicable to the 2015 State General Election**

ELECTORAL COMMUNICATION EXPENDITURE INCURRED BY:	GENERAL CAP
A party that endorses a group for the Legislative Council and between 0 and 10 candidates for the Legislative Assembly	\$1,050,000
All other parties	\$100,000 x number of Legislative Assembly electoral districts in which a candidate is endorsed by the party
A group of unendorsed candidates for the Legislative Council	\$1,050,000
An endorsed candidate for the Legislative Assembly	\$100,000
An unendorsed candidate for the Legislative Assembly	\$150,000
An ungrouped candidate for the Legislative Council	\$150,000
A third-party campaigner	\$1,050,000 (if registered with the Commission before the capped expenditure period for an election); or \$525,000 (in any other case)

“The *Election Funding, Expenditure and Disclosures Amendment Act 2014* commenced on 28 October 2014. This increased the maximum amount which can be claimed by parties and elected members.”

ELECTORAL COMMUNICATION EXPENDITURE INCURRED FOR THE ELECTION OF A CANDIDATE IN A PARTICULAR DISTRICT BY:	ADDITIONAL CAP (WITHIN THE GENERAL CAP)
A party	\$50,000 per district
A third-party campaigner	\$20,000 per district

#### Expenditure caps after the State General Election

The expenditure caps which apply to State by-elections held from the 29 March 2015 and the 2019 State General Election are outlined in Figure 22.

**Figure 22 – Expenditure caps for State by-elections held between the State General Elections of 2015 and 2019**

ELECTORAL COMMUNICATION EXPENDITURE INCURRED BY:	GENERAL CAP
A party that endorses a group for the Legislative Council and between 0 and 10 candidates for the Legislative Assembly	\$1,288,500
All other parties	\$122,900 x number of Legislative Assembly electoral districts in which a candidate is endorsed by the party
A group of unendorsed candidates for the Legislative Council	\$1,288,500
An endorsed candidate for the Legislative Assembly	\$122,900
An unendorsed candidate for the Legislative Assembly	\$184,200
An ungrouped candidate for the Legislative Council	\$184,200
A candidate for a Legislative Assembly by-election	\$245,600
A third-party campaigner	\$1,288,500 (if registered with the Commission before the capped expenditure period for an election); or \$644,300 (in any other case)
A third-party campaigner (by-election)	\$24,700

#### Claiming Funding

To receive a payment from the Election Campaigns Fund, the agent of an eligible candidate or party is required to make a claim for payment. The claim for payment is to include all actual campaign expenditure of the eligible candidate or in the case of an eligible party, all actual campaign expenditure of the party and its endorsed candidates.

In relation to the 2015 State General Election, claims are required to be lodged by 28 August 2015. The maximum amount payable to the eligible parties and candidates in relation to the 2015 State General Election is outlined in Figure 23.

**Figure 23 – 2015 State General Election – Maximum amount payable to eligible parties and candidates from the Election Campaigns Fund**

RECIPIENT	MAXIMUM PAYABLE
Total party	\$28,733,669.00
Total candidates	\$703,928.00
<b>TOTAL</b>	<b>\$29,437,597.00</b>

Based on the 2015 State General Election results, eight parties and 31 candidates are eligible to make a claim. At reporting year end, two parties and five eligible candidates have made a claim. No claims were finalised, however, all parties received an advance payment prior to the election and the two parties which have lodged a claim have each received a preliminary payment.

Advance payments equal 30% of the amount a party was entitled to receive at the 2011 election. Advance payments were paid before the 2015 election, in the amount of \$4,795,516.43.

Preliminary payments are 70% of the remaining amount payable to a party and are paid within 14 days of the party making the claim. At year end, \$4,926,644.66 had been paid to parties in preliminary payments.

# Public Funding, Donations and Lobbyists *continued*

## Payments made December 2014 to June 2015 – Election Campaigns Fund

The total payments made from the Election Campaigns Fund from December 2014 to June 2015 in relation to the 2015 State General Election are outlined at Figure 24. The Commission was responsible for payments from December 2014 onwards, following abolition of the Election Funding Authority.

**Figure 24 – Payments made from the Elections Campaign Fund in relation to the 2015 State General Election, December 2014 to June 2015**

DATE OF PAYMENT	ELECTION EVENT	PAYMENT TYPE	PAYMENT MADE TO	AMOUNT PAID
2 December 2014	2015 State General Election	Party – Advance payment	Liberal Party of Australia New South Wales Division	\$1,613,667.00
2 December 2014	2015 State General Election	Party – Advance payment	Christian Democratic Party (Fred Nile Group)	\$85,912.21
27 January 2015	2015 State General Election	Party – Advance payment	Shooters and Fishers Party	\$196,269.90
4 June 2015	2015 State General Election	Party – Preliminary payment	Australian Labor Party (NSW Branch)	\$4,055,166.89
5 June 2015	2015 State General Election	Party – Preliminary payment	Country Labor Party	\$871,477.77
<b>Total</b>				<b>\$6,822,493.77</b>

There were two by-elections held for which payments were made in the period December 2014 to June 2015. Payments from the Elections Campaign Fund in relation to these are outlined at Figure 25 and Figure 26.

**Figure 25 – Payments made from the Election Campaigns Fund in relation to the Charlestown By-election, held 25 October 2014**

DATE OF PAYMENT	ELECTION EVENT	PAYMENT TYPE	PAYMENT MADE TO	AMOUNT PAID
19 February 2015	Charlestown 2014 State By-election	Candidate – Payment	Jodie Harrison	\$40,526.17
19 February 2015	Charlestown 2014 State By-election	Candidate – Payment	Brian Tucker	\$11,624.19
20 March 2015	Charlestown 2014 State By-election	Candidate – Payment	Veronica Hope	\$3,535.00
7 May 2015	Charlestown 2014 State By-election	Candidate – Payment	Luke Arms	\$5,266.89
8 May 2015	Charlestown 2014 State By-election	Candidate – Payment	Suellen Wrightson	\$39,136.85
26 June 2015	Charlestown 2014 State By-election	Candidate – Payment	Jane Oakley	\$27,039.40
<b>Total</b>				<b>\$127,128.50</b>

**Figure 26 – Payments made from the Election Campaigns Fund in relation to the Newcastle By-election, held 25 October 2014**

DATE OF PAYMENT	ELECTION EVENT	PAYMENT TYPE	PAYMENT MADE TO	AMOUNT PAID
19 February 2015	Newcastle 2014 State By-election	Candidate – Payment	Timothy Crakanthorp	\$61,646.31
19 February 2015	Newcastle 2014 State By-election	Candidate – Payment	Karen Howard	\$45,719.40
26 June 2015	Newcastle 2014 State By-election	Candidate – Payment	Jacqueline Haines	\$20,802.01
26 June 2015	Newcastle 2014 State By-election	Candidate – Payment	Michael Osborne	\$30,642.22
<b>Total</b>				<b>\$158,809.94</b>

## Payments made from the Administration Fund

A total of \$6,709,684.71 was paid from the Administration Fund in the period December 2014 to June 2015. Full details are outlined in Figure 27.

**Figure 27 – Payments made from the Administration Fund, December 2014 to June 2015**

DATE OF PAYMENT	REPORTING PERIOD	PAYMENT TYPE	PAYMENT MADE TO	AMOUNT PAID
16 January 2015	1st quarter 2015	Elected member – Quarterly advance payment	Alexander Greenwich	\$26,712.50
16 January 2015	1st quarter 2015	Party – Quarterly advance payment	Australian Labor Party (NSW Branch)	\$357,987.50
16 January 2015	1st quarter 2015	Party – Quarterly advance payment	Christian Democratic Party (Fred Nile Group)	\$57,500.00
16 January 2015	1st quarter 2015	Party – Quarterly advance payment	Country Labor Party	\$76,662.50
16 January 2015	1st quarter 2015	Party – Quarterly advance payment	Liberal Party of Australia New South Wales Division	\$357,987.50
16 January 2015	3rd quarter 2014	Party – Quarterly payment	National Party of Australia – NSW	\$674,985.08
16 January 2015	1st quarter 2015	Party – Quarterly advance payment	National Party of Australia – NSW	\$357,987.50
16 January 2015	1st quarter 2015	Party – Quarterly advance payment	Shooters and Fishers Party	\$57,500.00
16 January 2015	2nd quarter 2014	Party – Quarterly payment	The Greens	\$257,151.95
19 February 2015	4th quarter 2014	Elected member – Quarterly payment	Gregory Piper	\$8,677.26
12 March 2015	4th quarter 2014	Party – Quarterly payment	Christian Democratic Party (Fred Nile Group)	\$112,500.00
12 March 2015	4th quarter 2014	Party – Quarterly payment	Liberal Party of Australia New South Wales Division	\$1,610,250.00
31 March 2015	3rd quarter 2014	Party – Quarterly payment	The Greens	\$216,888.56
1 April 2015	2nd quarter 2015	Elected member – Quarterly advance payment	Alexander Greenwich	\$40,068.75
1 April 2015	2nd quarter 2015	Party – Quarterly advance payment	Australian Labor Party (NSW Branch)	\$536,981.25
1 April 2015	2nd quarter 2015	Party – Quarterly advance payment	Christian Democratic Party (Fred Nile Group)	\$86,250.00
1 April 2015	2nd quarter 2015	Party – Quarterly advance payment	Country Labor Party	\$114,993.75
1 April 2015	2nd quarter 2015	Party – Quarterly advance payment	Liberal Party of Australia New South Wales Division	\$536,981.25
1 April 2015	2nd quarter 2015	Party – Quarterly advance payment	National Party of Australia – NSW	\$536,981.25
1 April 2015	2nd quarter 2015	Party – Quarterly advance payment	Shooters and Fishers Party	\$86,250.00
1 April 2015	2nd quarter 2015	Party – Quarterly advance payment	The Greens	\$230,050.00
4 April 2015	4th quarter 2014	Elected member – Quarterly payment	Alexander Greenwich	\$51,691.02
2 June 2015	4th quarter 2014	Party – Quarterly payment	The Greens	\$281,906.09

# Public Funding, Donations and Lobbyists *continued*

**Figure 27 – Payments made from the Administration Fund, December 2014 to June 2015 continued**

DATE OF PAYMENT	REPORTING PERIOD	PAYMENT TYPE	PAYMENT MADE TO	AMOUNT PAID
26 June 2015	1st quarter 2015	Party – Quarterly payment	Christian Democratic Party (Fred Nile Group)	\$30,824.74
26 June 2015	1st quarter 2015	Elected member – Quarterly payment	Gregory Piper	\$3,916.26
<b>Total</b>				<b>\$6,709,684.71</b>

## Payments made from the Policy Development Fund

No payments were made in the reporting period. Two claims were made but not finalised during the reporting period.

## Political Donations

A political donation is a gift made by a person or entity to or for the benefit of a candidate, a group of candidates, political party, an elected member of the NSW Parliament, a local government councillor, or third-party campaigner in NSW. Political donations include money; free or discounted services; subscriptions or fundraising fees; money from the sale of gifts; uncharged interest; transfers of money from other party branches or associations; or loans of vehicles during election campaigns.

Donations can only be accepted from individuals who are on the electoral roll or, if not enrolled, who have had prior approval from the Commissioner; or from registered companies with a Registered Business Number or, if the entity does not have a Registered Business Number, its principal or executive officer has received prior approval from the Commissioner. Donations of \$1,000 or more in a financial year (including several smaller donations amounting to \$1,000) are reportable to the Commission.

In addition, there are caps on the amount of donations which can be received.

For donations received between 1 July 2014 and 27 October 2014 the following caps applied:

- \$5,700 for political donations to or for the benefit of a registered political party;
- \$5,700 for political donations to or for the benefit of a group;
- \$2,400 for political donations to or for the benefit of an unregistered party;
- \$2,400 for political donations to or for the benefit of a candidate
- \$2,400 for political donations to or for the benefit of an elected member; and
- \$2,400 for political donations to or for the benefit of a third-party campaigner.

The caps on donations in relation to the 2015 State General Election were lowered by the *Election Funding, Expenditure and Disclosures Amendment Act 2014*. For donations received in relation to the 2015 NSW State General Election between 28 October 2014 and 30 June 2015 the following caps applied:

- \$5,000 for political donations to or for the benefit of a registered political party;
- \$5,000 for political donations to or for the benefit of a group;
- \$2,000 for political donations to or for the benefit of an unregistered party;
- \$2,000 for political donations to or for the benefit of a candidate;
- \$2,000 for political donations to or for the benefit of an elected member; and
- \$2,000 for political donations to or for the benefit of a third-party campaigner.

For donations received not in relation to the 2015 State election between 28 October 2014 and 30 June 2015 the following caps applied:

- \$5,700 for political donations to or for the benefit of a registered political party;
- \$5,700 for political donations to or for the benefit of a group;
- \$2,400 for political donations to or for the benefit of an unregistered party;
- \$2,400 for political donations to or for the benefit of a candidate;
- \$2,400 for political donations to or for the benefit of an elected member; and
- \$2,400 for political donations to or for the benefit of a third-party campaigner.



## Donations disclosed

From December 2014, following abolition of the Election Funding Authority, the Commission became responsible for receiving details of, and reporting on, donations received by political parties. During the period December 2014 to June 2015, State registered parties reported receiving donations of \$5,095,000 while Local Government parties reported donations received of \$54,265.

One political donation to the value of \$1,000 was recovered during the reporting period, from the Liberal Party of Australia New South Wales Division. The reason for recovery was that the donation had been accepted from the close associate of a prohibited donor. Property developers, tobacco industry business entities and liquor or gambling industry business entities and the close associates of such are prohibited donors.

## Lobbyists

During the year, the *Electoral and Lobbying Legislation Amendment (Electoral Commission) Act 2014* amended the *Lobbying of Government Officials Act 2011* to:

- Provide for a Register of Third-Party Lobbyists, a Lobbyists Watch List and a Code of Conduct for third-party and other lobbyists; and
- Confer on the Commission the function of keeping the Register and Watch List and of enforcing compliance with the Code.

In December 2014, the *Lobbying of Government Officials (Lobbyists Code of Conduct) Regulation 2014* came into effect. It prescribes the NSW Lobbyists Code of Conduct as the code of conduct for all third-party and other lobbyists. The Code imposes a set of ethical obligations on all individuals and organisations seeking to influence government policy and decision making in NSW, and imposes additional responsibilities on third-party lobbyists (professional lobbyists who are in the business of representing the interests of another person or body).

The Commission is responsible for administering, monitoring and enforcing compliance with this statutory regime. Therefore we are responsible for investigating alleged breaches of the Act, the Regulation and the Code, and we are able to impose sanctions on lobbyists for non-compliance with their obligations. The harshest sanction for a breach by a registered third-party lobbyist is now de-registration, which would prohibit a third-party lobbyist from communicating with government officials in NSW. Other sanctions are suspension from the Register; or being placed on the Lobbyists Watch List, a sanction which can be applied to any individual or organisation which has lobbied, and not only professional lobbyists.

The Commission inherited what was very much a paper-based system. In order to improve transparency of the process and to assist lobbyists in complying, in June we implemented a self-service application to allow third-party lobbyists to log-in to a Lobbyists Register page on the Commission's webpages: [www.lobbyists.elections.nsw.gov.au/LobbyistsOnlinePortal](http://www.lobbyists.elections.nsw.gov.au/LobbyistsOnlinePortal)

We expect that this online self-service approach will make notifying changes and uploading statutory declarations much easier and also significantly reduce the time taken for approvals of new applications. Feedback has so far been positive, as users have noted the ease of the system and that they enjoy the autonomy of being able to update their information without the need to contact us.

Any member of the public can inspect the entire Register by an easy online search facility: [www.lobbyists.elections.nsw.gov.au/whoisontheregister](http://www.lobbyists.elections.nsw.gov.au/whoisontheregister) They can also find out the obligations of both lobbyists and government officials by using the e-learning Module developed by the Commission for training purposes: [www.lobbyists.elections.nsw.gov.au/onlinelearning](http://www.lobbyists.elections.nsw.gov.au/onlinelearning)

“The public can inspect the entire Lobbyist Register by an easy online search facility: [www.lobbyists.elections.nsw.gov.au/whoisontheregister](http://www.lobbyists.elections.nsw.gov.au/whoisontheregister)”

# Public Funding, Donations and Lobbyists *continued*

The key issue for the future will be implementing strategies for monitoring compliance with the lobbyist regulatory regime. The Commission is collaborating with our counterparts in other Australian jurisdictions to share knowledge and ideas to develop a proactive approach to this regulatory responsibility.

## Communication

Our communication activities aim to:

- Ensure that parties, candidates, groups, elected members, third-party campaigners and political donors have access to current information about their entitlements and obligations; and
- Ensure the public and the media have access to publicly available disclosure documents by publishing the disclosures of political donations and electoral expenditure.

We provide stakeholders with a range of ways in which to access information which includes our website, a dedicated telephone help desk enquiry service and an email enquiry service. We responded to 2,795 telephone queries and 728 email queries during the period 1 December 2014 and 30 June 2015.

Although the Election Funding Authority was abolished at the end of November 2014, we maintained the existing website address for the balance of the financial year because stakeholders were familiar with the address and because, with the impending State General Election, it was important that stakeholders be readily able to find information they needed. The website will be re-badged during 2015-16.

Parties, candidates, groups and third-party campaigners are the primary focus of our communication efforts in an election year. During the period 1 December 2014 to 30 June 2015, there were 837 candidates, 25 groups and 17 third-party campaigners. In addition, there were 872 official agents.

Official agents are obliged to complete an authorised training program, which we provide via an online training module on our website. During the reporting period, 83 people completed this online training.

We conducted nine Candidate Information Seminars and webinars in the following locations:

### Local Government elections and by-elections:

- Clarence Valley Council
- City of Newcastle – Ward 3
- City of Ryde – East Ward
- Forbes Shire Council (webinar)

### State General Election:

- Sydney CBD (two)
- Wollongong
- Blacktown
- Hurstville

In October 2014 and again in December 2014, we emailed letters to all party and official agents to let them know about the amendments to the EFED Act. The letters covered the Election Funding Authority's abolition and the transfer of all powers and functions to the Commission. We also reminded agents of the donation and expenditure caps for the 2015 State General Election, public funding of election campaigns for the State General Election and the requirement to disclose reportable political donations received before the election.

We also updated our website to reflect the legislative changes and the new obligations and entitlements of stakeholders, especially in relation to the State General Election.

## Compliance and Enforcement

The Commission has a compliance and enforcement function under the *Parliamentary Electorates and Elections Act 1912*, the *Election Funding, Expenditure and Disclosures Act 1981*, and the *Lobbying of Government Officials Act 2011*.

On 1 December 2014 the *Electoral and Lobbying Legislation Amendment (Electoral Commission) Act 2014* commenced, granting the Commission a clear mandate to institute criminal and civil proceedings for contraventions of the electoral and lobbying laws. To facilitate this mandate, the Commission will undertake investigations into any suspected and/or actual contraventions of the legislation, with the view of collecting, collating and presenting such evidence in an admissible format, to ensure compliance and enforcement functions meet legal standards.

“During the last financial year a total of 872 official agent appointments were created”

## Compliance

### Overview of activity

During the reporting period, we considered a total of 725 matters. These matters included Preliminary Reviews and Assessments, matters arising from complaints, referrals, matters we instigated ourselves, as well as issuing Penalty Notices for failure to lodge Disclosure Declarations regarding political donations and electoral expenditure. The 725 matters are divided into two distinct categories.

First, 373 matters concerning potential breaches of the *Election Funding, Expenditure and Disclosures Act 1981*, the *Parliamentary Electorates and Elections Act 1912* or the *Lobbying of Government Officials Act 2011*. The breakdown of these matters is outlined in Figure 28.

**Figure 28 – Treatment of potential breaches of the *Election Funding, Expenditure and Disclosures Act 1981*, the *Parliamentary Electorates and Elections Act 1912* or the *Lobbying of Government Officials Act 2011*, December 2014 to June 2015**

ACTIVITY	
Investigations commenced (of which 39 completed)	42
Cautions issued (ie warning or education letters sent)	209
No further action taken	122
<b>Total Preliminary Review and Assessments completed</b>	<b>373</b>

Secondly, an additional 352 matters whereby breaches of the *Election Funding, Expenditure and Disclosures Act 1981* may be handled through the use of penalty notice provisions. Of the 352 matters reviewed, a total of 65 penalty notices, were issued to stakeholders. Those penalty notices were issued for breaches of section 96H of the *Election Funding, Expenditure and Disclosures Act 1981*, in respect to failure to lodge Disclosure Declarations for political donations and electoral expenditure within a prescribed time. Similarly, section 46 of the *Election Funding, Expenditure and Disclosures Act 1981* provides a penalty for the failure of candidates, or groups of candidates, to appoint an official agent. The outcome of those 352 matters are reflected in Figure 29.

**Figure 29 – Breaches of the *Election Funding, Expenditure and Disclosures Act 1981* dealt with by penalty notice provisions, December 2014 to June 2015**

STAKEHOLDER	NO ACTION	WARNING LETTER	CAUTION LETTER	PENALTY ISSUED
<b>SECTION 96H ADDITIONAL DISCLOSURE PERIOD</b>				
Candidate	0	0	3	6
Third-party Campaigner	0	0	0	2
Party	0	0	0	1
<b>SECTION 96H REGULAR DISCLOSURE PERIOD</b>				
Candidate	1	0	3	0
Donor	19	4	87	7
Elected Member	42	11	8	46
Party	0	1	0	3
<b>SECTION 46</b>				
Candidate	2	8	44	0
Group of Candidates	36	18	0	0
<b>TOTALS</b>	<b>100</b>	<b>42</b>	<b>145</b>	<b>65</b>

# Public Funding, Donations and Lobbyists *continued*

## Prosecutions

During the reporting period, 20 matters concerning penalty notices served in previous reporting periods were referred to the NSW Crown Solicitor's Office for prosecution.

Prosecutions had not commenced during the reporting period, with the first matter to be heard in July 2015.

Matters will be heard progressively throughout 2015-16 and will be reported in the Annual Report for the 2015-16 financial period.

## Complaints arising from the State General Election

The Commission received a great number of complaints concerning breaches of the *Parliamentary Electorates and Elections Act 1912* during the course of the 2015 State General Election. The vast majority concerned how-to-vote material and other election material being inadequately authorised and/or registered, and conduct of election participants. There were four matters of particular interest:

1. Alleged Multiple Voting – matter was subject of a preliminary review and assessment and it was determined that there was insufficient evidence to conduct an investigation.
2. Failure to provide details of printer and failure to register electoral material pursuant to s.151E and s.151G of the *Parliamentary Electorates and Elections Act 1912* (East Hills district) – Investigation ongoing.
3. Alleged tampering with Commission "iVote system" – Protection of computer hardware and software pursuant to s.121A1 *Parliamentary Electorates and Elections Act 1912* – matter subject to a preliminary review and assessment, no offence found.
4. Alleged tampering with electoral papers – post election – pursuant to s.136, s114J of the *Parliamentary Electorates and Elections Act 1912* – matter investigated, no offence found.

“The majority of complaints arising from the State General Election were about ‘how-to-vote’ material”

## Challenges and Achievements

The *Electoral and Lobbying Legislation Amendment (Electoral Commission) Act 2014* empowered the Commission to investigate and undertake enforcement actions for breaches against the *Parliamentary Electorates and Elections Act 1912* and the *Lobbying of Government Officials Act 2011*.

This has moved our function from largely administrative to a greater focus on client services and regulation, with increased investigative and enforcement activities. We have revised our operation to reflect new core objectives:

- To promote transparency in campaign finance;
- To enforce compliance; and
- To foster stakeholder awareness.

With the abolition of the Election Funding Authority and various changes to legislation, we had extensive work to do both in communicating with stakeholders, particularly in the lead up to a State General Election, and in changing our systems to reflect new legislative requirements.

While this would have been sufficient challenge in itself, it was made greater because we were not aware of the commencement date of the legislation abolishing the Election Funding Authority. While we could prepare some activities in advance, we did have to respond quickly once the legislation was introduced.

The government also passed another amendment, the *Election Funding, Expenditure and Disclosures Amendment Act 2014*, on 28 October 2014 which made significant changes to the *Election Funding, Expenditure and Disclosures Act 1981* in relation to the State General Election. In particular, a new disclosure period, called the additional disclosure period, was introduced for the purpose of the 2015 State General Election, which required stakeholders to lodge a qualified declaration of disclosure before the State General Election.

We had to respond quickly to make system changes, website changes to facilitate the lodging of declarations, change information material, and communicate these changes to stakeholders in advance of their obligations falling due. We were required to process the declarations and publish them within seven days of receipt.

“For the 2015 State General Election we were able to meet all our legislative obligations, while dealing with short timeframes and diverse stakeholders”

The amendment also changed the caps on donations for the 2015 State General Election during the disclosure period – again this required urgent communication to stakeholders. Finally, another significant amendment was the change to the method of calculation of Election Campaigns Fund payments for the State General Election. This required significant system changes as well as stakeholder communication and education. Claims for Election Campaigns Fund payments can be made up to 28 August 2015, so we still do not know the full extent/impact of this amendment.

Our biggest achievement has been in implementing the various amendments and driving reform over an intense four month period leading up to the State General Election. We met all of our legislative obligations in a very short timeframe, while dealing with hundreds of diverse stakeholders.

One measure of success is our implementation of the additional disclosure period required by changes in the *Election Funding, Expenditure and Disclosures Act 1981*. Of the 411 required disclosures, only two failed to lodge and only 14 were late lodgements. All disclosures were received and published online within seven days of receipt as required by the *Election Funding, Expenditure and Disclosures Act 1981* amendments. The result was outstanding, as can be seen from Figure 30 – the lodgement rate far exceeded the lodgement rate for regular disclosure periods.

**Figure 30 – Lodgement of disclosures, 2009 to 2015**

RESULT INDICATOR	TARGET	REPORTING PERIOD ENDING 31 DEC 2009	REPORTING PERIOD ENDING 30 JUNE 2010	REPORTING PERIOD ENDING 30 JUNE 2011	REPORTING PERIOD ENDING 30 JUNE 2012	REPORTING PERIOD ENDING 30 JUNE 2013	REPORTING PERIOD ENDING 30 JUNE 2014	REPORTING PERIOD ENDING 1 MARCH 2015
Disclosures required to be lodged		2,259	2,371	4,644	2,493	8,440	2,451	411
Disclosures lodged on time	95%	87%	79%	81%	84%	72%	67%	95%
Disclosures lodged late		7%	15%	11%	13%	22%	27%	4%
Disclosures not lodged	5%	6%	6%	8%	3%	6%	6%	1%

Since 2011, there have been six amendments to the *Election Funding, Expenditure and Disclosures Act 1981*. This makes meaningful comparison of data from year to year difficult, as the overall framework and requirements within the framework have been changing frequently. Developing meaningful performance measures, which can be compared over time, to determine the success of our role in relation to electoral funding, including donations, is a definite challenge to which we will be turning our attention in the coming report period.

# Public Funding, Donations and Lobbyists *continued*

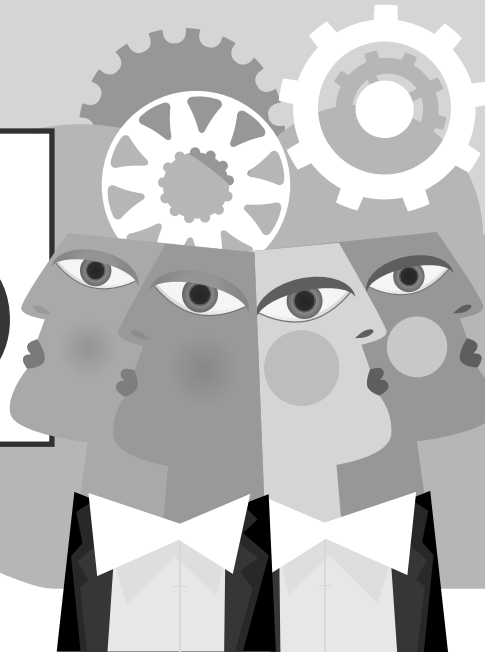
## **Looking Forward – Challenges and Opportunities in 2015-16**

Our major goals for 2015-16 are:

- Completing Compliance audits of 2014-15 declarations (approx. 4,100), including those for the State General Election, within the financial 2015-16 year.
- This is a huge amount of work which usually takes 12 months or more. We are implementing risk based methodologies for auditing declarations and claims. While this will result in additional effort during 2014-15, we expect the new methodology to increase our efficiency over time.
- Introducing a communications plan/awareness campaign for stakeholders to enhance our existing seminar and web based education programs. This will include regular updates to stakeholders through a variety of channels regarding legislative and procedural changes, workshops and more information targeted to specific stakeholders.
- Creating an integrated matter management, evidence management and intelligence system to facilitate streamlined investigations and enforcement action, greater information sharing and integration regarding Commission matters.
- During 2015-16, the Joint Standing Committee on Electoral Matters will be reviewing recommendations made by the Premier's Panel of Experts on Political Donations. We will be making a submission to the Inquiry to comment on the Panel's recommendations and to advise what we have done to implement them.

Risk Management  
**Accountability**  
Legal Matters  
Staffing  
Business Operations

5



► **PART 5**  
Accountability,  
Corporate Governance  
and Management

**This section details our accountability and corporate governance processes, including details of our committees, risk management, legislative compliance, business operations and staffing.**

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# Accountability, Corporate Governance and Management



**1**  
number of appearances before Parliament on 24 October 2014 to report on the preparations for the 2015 State General Election

**4**  
meetings held by consultative council of all Electoral Commissions from Australia and New Zealand (ECANZ)

**5**  
number of external committees that assist and contribute to our governance

**5**  
meetings during the financial year of the independent Audit and Risk Committee



## Accountability

### NSW Joint Standing Committee on Electoral Matters of the NSW Parliament

The Joint Standing Committee on Electoral Matters (JSCEM) of the NSW Parliament reviews the administration and conduct of State and Local Government elections and any other functions referred by the Premier.

The Commission provides reports to JSCEM on our performance in conducting elections or in response to requests for submissions. These are available on our website. (Reports on the conduct of elections for clubs, statutory boards and industrial organisations are provided to each organisation following their elections.) The Commission also periodically makes recommendations on legislative reform with respect to the conduct of elections and campaign finance.

During the year Commission staff made one appearance before the Parliamentary Committee on 24 October 2014 to report on our preparations for the 2015 State General Election. During the coming reporting period, the Commission will be submitting a report on the conduct of the 2015 State General Election to the JSCEM.

### Relationship to Parliament and Government

The New South Wales Electoral Commission (Commission) is an independent statutory authority established under the *Parliamentary Electorates and Elections Act 1912*. The Commission comprises three Commissioners, one of whom is the NSW Electoral Commissioner. The day to day work of the Commission is carried out by the staff of the authority and the term Commission generally refers to the authority and its staff.

The NSW Electoral Commissioner is appointed by the Governor of NSW and is not subject to the control or direction of the Electoral Commission in the exercise of his or her functions.

Under legislation, the three member Commission is required to report to Parliament on its work and activities. The Electoral Commissioner is required under legislation to report to Parliament via the Annual Report in relation to some enrolment and electoral information.

### Management arrangements within the Commission

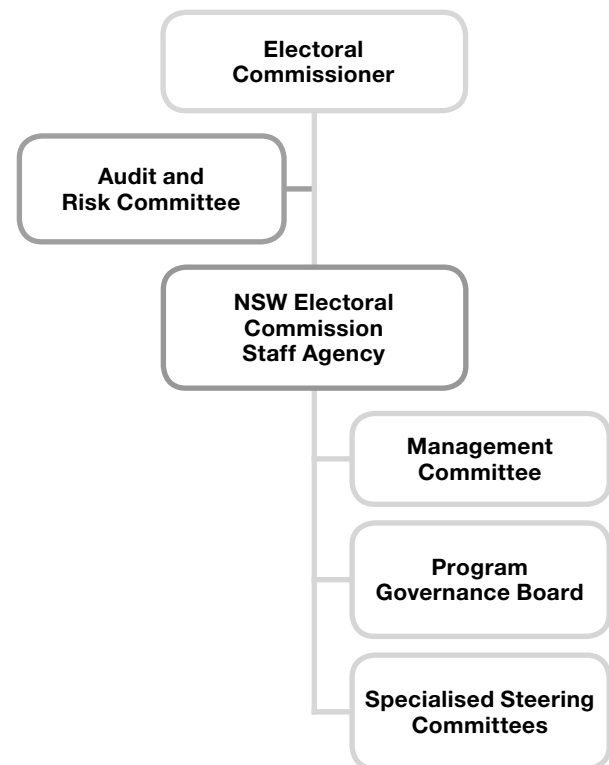
Within the Commission, we have an independent Audit and Risk Committee, reporting to the Electoral Commissioner.

We also have a Management Committee, comprising the Electoral Commissioner and Directors of the Commission which provides advice to the Commissioner and which oversees the strategic direction and ongoing work of the Commission.

The Management Committee is supplemented by a Program Governance Board which is established for each State General Election and Local Government Election and which oversees projects specific to each major event. In addition, various specialist Steering Committees are established as needed (for example, the IT Steering Committee).

A chart showing this management structure is provided below.

**Figure 31 – NSW Electoral Commission Staff Agency Management Structure**



# Accountability, Corporate Governance and Management *continued*

## Electoral Commissioner

The Electoral Commissioner, Mr Colin Barry, is appointed in accordance with section 21A of the *Parliamentary Electorates and Elections Act 1912*. The Electoral Commissioner is the Returning Officer for the periodic Legislative Council elections and is also one of three Electoral Commissioners appointed by the Governor to carry out electoral district redistributions according to law. The Electoral Commissioner is oversighted by the Joint Standing Committee on Electoral Matters of the NSW Parliament.

## Management Committee and Internal Committees

The Management Committee acts as an advisory board to the Electoral Commissioner on policy and operational matters within the Commission.

Its members have individual and collective responsibility to implement the decisions of the Electoral Commissioner and the Management Committee; to manage the operational requirements of such decisions; and to identify avenues to further increase the effectiveness and efficiency of the Commission.

In the year ending 30 June 2015 the Management Committee met 11 times. The meeting dates and attendances are outlined at Appendix 10. Significant items for discussion by the Committee during the year included prospective legislative changes, abolition of the Election Funding Authority and its impact on the Commission and planning for the 2015 State General Election.

In addition to the Management Committee, the IT Steering Committee is a forum for discussion and identification of IT issues and also identifies future IT resource needs to assist with planning and prioritising. The Committee met ten times during 2014-15.

## External Committees

The Commission is represented on the following external committees that assist and contribute to our governance framework.

### Electoral Council of Australia and New Zealand (ECANZ)

ECANZ is a consultative council of all Electoral Commissions from Australia and New Zealand that reviews the management of electoral rolls for Commonwealth, State, Territory and Local Government elections and considers advances of electoral administration. The ECANZ met on four occasions during the year, as outlined below.

All meetings were attended by the Electoral Commissioner:

- Wellington New Zealand, 18 September 2014
- Melbourne, 28 November 2014
- Brisbane, 28 January 2015
- Sydney, 27 March 2015

### State and Territories Electoral Commissioners (STEC)

The STEC is a collaborative body that considers electoral policy and operational matters of mutual interest. The STEC met on four occasions during the year, on the same dates and in the same locations as ECANZ. All meetings were attended by the Electoral Commissioner:

- Wellington New Zealand, 18 September 2014
- Melbourne, 28 November 2014
- Brisbane, 28 January 2015
- Sydney, 27 March 2015

### Electoral Regulation Research Network

The Network was established in 2012 to foster exchange and discussion amongst academics, electoral commissions and other interested groups on research relating to electoral regulation. As a sponsor of the network, the Electoral Commissioner attended the following meetings over the course of the last year:

- Sydney, 6 August 2014
- Melbourne, 15 August 2014
- Melbourne, 21 October 2014
- Melbourne, 16 December 2014
- Melbourne, 20 February 2014

“The Commission is committed to establishing and maintaining an effective risk management process”

### Australian Electoral Commission's Indigenous Electoral Participation Program (IEPP)

Indigenous Australians are much less likely to enrol to vote than other Australians. Many of those who are enrolled do not vote or vote incorrectly. The Australian Electoral Commission established the Indigenous Electoral Participation Program (IEPP) in 2010 to close the gap in Indigenous disadvantage in electoral participation.

Our Community Education Officer met with the IEPP team bi-monthly during the year. IEPP provided valuable assistance to the Commission in relation to our targeted recruitment of Aboriginal people for the State General Election. We also shared a stall at Yabun in 2015. Yabun is Australia's largest one day celebration of Aboriginal and Torres Strait Islander culture, held on 26 January each year at Victoria Park in Camperdown, Sydney. It has a program of arts, music, dance, speakers and stalls.

### Australian Electoral Commission's Disability Advisory Committee

This Committee works to improve access for people with a disability, particularly on promoting the voting rights of people who are blind or vision impaired, people with a disability who may not have been given information about voting, and young people with a disability. Our Community Education Officer attended a Committee meeting during the year to provide an update on our strategies to meet the needs of electors who have a disability.

## Risk Management

The Commission is committed to establishing and maintaining an effective risk management process. This provides the foundations and organisational arrangements for designing, implementing, monitoring, reviewing and continually improving risk management for all election events and business processes.

The NSW Electoral Commissioner and the Directors reviewed the risk registers on a monthly basis and where necessary, updated the risk registers for any changes. The Attestation for the Digital Security Annual Statement can be found at Appendix 16.

### Audit and Risk Committee

The Audit and Risk Committee (the Committee) has been established to assist the NSW Electoral Commissioner and the Commission's Directors to fulfil their responsibilities in relation to the Commission's governance, financial reporting arrangements, internal control environment and risk management process.

The Committee has independent status and reports directly to the Electoral Commissioner. It has complete access to both the internal and external auditors and to senior management and the authority to consult independent experts where this is considered necessary to carry out its duties. The Committee's responsibilities comply with the NSW Treasury's *Internal Audit and Risk Management Policy for the NSW Public Sector* (TPP 09-05). The Commission will seek to implement the requirements of the recently released *Internal Audit and Risk Management Policy for the NSW Public Sector* (TPP 15-03) through the next financial year.

# Accountability, Corporate Governance and Management *continued*

At the Committee's quarterly meetings, the Committee reviewed the identified risks and the controls to manage these risks. The risk data tabled at the Committee meetings include the risks faced by the:

- 2015 State General Election program; and the
- Electoral Commissioner and Directors outside of the 2015 State General Election program.

During the year the Committee met on five occasions: September 2014, October 2014, December 2014, February 2015 and May 2015.

Committee members consist of Brian Suttor as Chairperson, and John Gordon and Kathleen Haddock as Independent Members. On 2 September 2014, John Gordon's term was extended by another four years.

Other attendees may include the NSW Electoral Commissioner, the Commission's Chief Audit Executive, and the external and internal audit service providers that attend the Committee by invitation. During the year ended 30 June 2015, the following people attended the Committee meetings by invitation:

- Mr Colin Barry, NSW Electoral Commission;
- Mr Trevor Follett, NSW Electoral Commission;
- Mr Chris Clayton, Audit Office of New South Wales
- Mr Robert Hayek, Audit Office of New South Wales;
- Mr Mark Driessen, PricewaterhouseCoopers;
- Ms Elisabeth Burn, PricewaterhouseCoopers; and
- Mr Alan Murray, PricewaterhouseCoopers.

The Committee Chair and Members made 'Conflict of Interest Declarations' at the commencement of each Audit and Risk Committee meeting during the year. In May 2015 an annual written form of declaration was received from each member of the committee. There were no conflict of interest declarations made that prohibited the continuing engagement of Brian Suttor, John Gordon or Katy Haddock on the New South Wales Electoral Commission Audit and Risk Committee. The committee members also declared they were not a member of more than four other NSW State Movement agencies Audit and Risk Committees.

The following Declarations of Interest were made during 2014-15:

- December 2014 John Gordon – re-appointed to the Southwest Sydney Local Health District Board
- February 2015 John Gordon – appointed to the Audit Committee of Camden Council
- May 2015 Katy Haddock – appointed to the St Vincent's Human Research and Ethics Committee

## Internal Audit and Risk Management Policy Attestation

Annually, the NSW Electoral Commissioner is required to attest compliance with NSW Treasury TC 09/08 *Internal Audit and Risk Management Policy*. The NSW Commissioner's annual attestation statement is shown on the next page.

## Internal Audit

Internal audit is a fundamental element of our corporate governance structure and processes within the Commission. Our internal audit function comprises the Commission's Chief Audit Executive and the external provider of internal audit services, PricewaterhouseCoopers.

# Internal and Risk Management Attestation



## Internal Audit and Risk Management Attestation for the 2014-15 Financial Year for the New South Wales Electoral Commission

I, Colin Barry, am of the opinion that the New South Wales Electoral Commission, has internal audit and risk management processes in operation that are, in all material respects, compliant with the core requirements set out in Treasury Circular NSW TC 09/08 *Internal Audit and Risk Management Policy*. These processes provide a level of assurance that enables the senior management of New South Wales Electoral Commission to understand, manage and satisfactorily control risk exposures.

I, Colin Barry, am of the opinion that the Audit and Risk Committee for the New South Wales Electoral Commission is constituted and operates in accordance with the independence and governance requirements of Treasury Circular NSW TC 09/08. The Chair and Members of the Audit and Risk Committee are:

- Independent Chair, Brian Suttor, reappointed on 2 December 2013 for four years with the term ending 1 December 2017.
- Independent Member, Kathleen Haddock, reappointed on 14 May 2014 for four years with the term ending 13 May 2018.
- Independent Member, John Gordon, reappointed on 13 October 2014 for four years with the term ending 13 October 2018.

I, Colin Barry, declare that this Internal Audit and Risk Management Attestation is also made on behalf of the following controlled entity:

- New South Wales Electoral Commission Staff Agency (formerly known as the Office of New South Wales Electoral Commission).

  
Colin Barry  
Electoral Commissioner

Dated: 30 June 2015

# Accountability, Corporate Governance and Management *continued*

The status of internal audit engagements and associated findings raised from these engagements is shown below.

**Figure 32 – Internal audit engagements and their status as at 30 June 2015**

INTERNAL AUDIT ENGAGEMENTS	STATUS (30 JUNE)	NUMBER OF LOW RISK-RATED FINDINGS	NUMBER OF MEDIUM RISK-RATED FINDINGS	NUMBER OF HIGH RISK-RATED FINDINGS
Internal Audit Engagements completed during the Year Ending 30 June 2015				
Ballot Paper Management – Design Effectiveness of Controls	Complete	4	3	6
Ballot Paper Management – Follow-up Review of the design effectiveness and Operating Effectiveness of Controls.	Complete	5	4	6
State Government Election Program Management and Governance Review	Complete	4	0	0
Procurement and Contract Management	In Progress	N/A	N/A	N/A
Projection data	Delayed	N/A	N/A	N/A
<b>Total</b>		<b>13</b>	<b>7</b>	<b>12</b>

The review on Projection Data has been delayed to the next financial year 2015-16 to allow for an additional review requested by the Electoral Commissioner – ‘Program Board Management Reporting Framework’. This review was near completion at the time of the Annual Report production.

## External Audit

Each year the Audit Office of New South Wales conducts an audit of the Commission to obtain reasonable assurance that the financial statements are free from material misstatement and other matters of governance interest. The Commission received an unmodified audit opinion for 2014-15.

In the Management Letter issued in October 2015 for the year ended 30 June 2015, the Audit Office raised the findings described below.

**Figure 33 – Audit Office findings for the year ended 30 June 2015**

BRIEF DESCRIPTION OF FINDING	ASSESSMENT OF FINDING'S RISK
Accounting for the costs of Election Officials	Moderate
Business Continuity plans not tested	Low
Lack of a cost recovery policy	Low
Recording of Capital Expenditure	Low
Use of Purchase Orders	Low
Treasurer's approval for financial accommodation	Low
Classification of annual leave between short and long term	Low
Calculation of Make Good Provision	Low
Stale cheque over 15 months	Low

The Audit Office of New South Wales has reported it is satisfied with the progress made in addressing the above findings. All Audit Office's findings from the earlier financial years have been addressed as at 30 June 2015.

## Insurance arrangements

The Commission maintains insurance under the risk management system of the Treasury Managed Fund, namely, public liability, workers compensation, motor vehicle, property and miscellaneous insurances.

## Legal Matters

The Commission undertakes significant legal work each year. In 2014-15, this included work on a large amount of legislative change, providing instructions to the Crown Solicitor's Office in relation to prosecutions for failure to comply with electoral legislation, meeting our legal obligations in relation to privacy, as well as in the provision of information. We also developed contractual and Memorandum of Understanding arrangements with Local Government clients and the NSW Aboriginal Land Council.

During the year we faced a particular challenge providing legal advice on very complex/untested legislation and novel legislation, such as changing the *Election Funding, Expenditure and Disclosures Amendment Act 1981* provisions and the Court of Disputed Returns provisions of the *Parliamentary Electorates and Elections Act 1912*, respectively.

### Legislative Change

There was considerable legislative change in 2014-2015, which affected the Commission's work. During the year we prepared proposals and represented Commission interests in discussions with the Department of Premier and Cabinet in relation to changes.

The most important change was the commencement of the *Electoral and Lobbying Legislation Amendment (Electoral Commission) Act 2014*, bringing into effect a 2013 recommendation of the Parliamentary Joint Standing Committee on Electoral Matters. The Act amended the *Parliamentary Electorates and Elections Act 1912* and the *Election Funding, Expenditure and Disclosures Amendment Act 1981* to:

- Reconstitute the Commission so that it consists of the Electoral Commissioner, a former Judge as Chairperson of the Commission and a member with financial or audit skills, instead of it being constituted only by the Electoral Commissioner; and
- Abolish the Election Funding Authority and to confer its functions on the reconstituted Commission. Accordingly, the new Commission will be responsible for administering the election funding, expenditure and disclosure scheme in NSW.

Further to the Premier's announcement in May 2014 of an overhaul of the regulation of lobbyists of NSW Government officials, the Act also amended the *Lobbying of Government Officials Act 2011* to:

- Provide for a Register of Third-Party Lobbyists, a Lobbyists Watch List and a Code of Conduct for third-party and other lobbyists; and

- Confer on the Commission the function of keeping the Register and Watch List and of enforcing compliance with the Code.

Also in December 2014, the Lobbying of Government Officials (Lobbyists Code of Conduct) Regulation 2014 took effect. It prescribes the NSW Lobbyists Code of Conduct as the code of conduct for third-party and other lobbyists. The new Code is very closely based on the previous administrative Code, the key difference being that it imposes a set of ethical obligations on all organisations seeking to influence government policy and decision making, whereas the previous Code only applied to third-party lobbyists (professional lobbyists who are in the business of representing the interests of another person or body).

The Regulation also prescribes certain information concerning the Register and ensures the Commission may suspend or cancel the registration of a third-party lobbyist for breach of the former Code of Conduct.

In November 2014, the *Election Funding, Expenditure and Disclosures Amendment Act 2014* made the following significant amendments to the *Election Funding, Expenditure and Disclosures Amendment Act 1981*:

- A one-off disclosure of certain political donations received by parties, elected members, candidates or third-party campaigners during the period 1 July 2014 to 1 March 2015, in relation to the 2015 State General Election;
- Caps on political donations and electoral campaign expenditure were reduced to the levels applicable at the 2011 State General Election;
- Maximum penalties for a number of offences – including those relating to false statements, disclosures and exceeding caps – were considerably increased;
- The scope of 'electoral expenditure' and 'electoral communication expenditure' was expanded to include research and travel/accommodation;
- New regulation-making power and objects clause with respect to donor identification, and a new offence of enter into or carry out a scheme for the purpose of circumventing political donations or electoral expenditure prohibitions or requirements, were added; and
- The limitation period for commencing proceedings for summary offences was extended from three to ten years.

# Accountability, Corporate Governance and Management *continued*

The *Local Government Amendment (Elections) Act 2014* commenced in February 2015. It provided for the following:

- In certain circumstances, following the 2016 ordinary elections, a vacancy in the office of councillor (other than popularly elected mayor) may be filled by a candidate determined by a countback of votes rather than a by-election;
- Persons who are entitled to enrol on a roll of non-resident owners of rateable land or a roll of occupiers and rate-paying lessees are not required to re-enrol after each ordinary election of councillors; and
- The Council of the City of Sydney (and any other local council that may be prescribed by the regulations), may by a resolution made at least 18 months before an ordinary election of councillors, determine that voting at that election is to be conducted exclusively by means of postal voting.

The *City of Sydney Amendment (Elections) Act 2014* also commenced in February 2015, having been introduced as a Private Member's Bill. The most significant change from the Commission's perspective is that the General Manager of the City of Sydney, and not the Commission, is now responsible for the production of the Council's non-residential roll.

## Privacy

The Annual Report of each public sector agency must include statistical details of any Internal Review conducted under the *Privacy and Personal Information Protection Act 1998* (see cl 10 of the Annual Reports (Statutory Bodies) Regulation 2010). During the reporting period, the Commission received one application for internal review. The Information and Privacy Commission was notified of the incident. The Information and Privacy Commission made no submissions with respect to our findings. As a result of the review, system changes were implemented to prevent such an incident recurring. No application for review was made to the NSW Civil and Administrative Tribunal.

## Access to Government Information

Section 125 of the *Government Information (Public Access) Act 2009* (GIPA Act) requires an agency to prepare an annual report on the agency's obligations under the GIPA Act. The *Government Information (Public Access) Regulation 2009* (GIPA Regulation) sets out the information to be included in the annual report.

During the reporting period, the Commission received six access applications and ten informal requests for information under the *Government Information (Public Access) Act 2009*, ie a total of 16 applications and requests. Our Report under the GIPA Act is at Appendix 11. There is no legislative requirement to report on informal requests.

Statistical details of decisions made after the reporting period are not required to be included in the GIPA report. Therefore the report does not refer to a decision made with respect to one application, as the application was received during the reporting period (receipt of the application is reportable) but the decision was made outside the reporting period (the decision will be reportable in next year's report).

## Prosecutions

During the year, we briefed the Crown Solicitor's Office to conduct the following prosecutions under the *Local Government Act 1993* where recipients of penalty notices for failing to vote elected to have their matters heard by a court:

- 2014 Hurstville Local Government By-election – 9 cases;
- 2014 Leichhardt Local Government By-election – 1 case;
- 2014 Willoughby Local Government By-election (March) – 4 cases; and
- 2014 Willoughby Local Government By-election (June) – 2 cases.

We also instructed the Crown Solicitor's Office to act in 20 matters where individuals failed to lodge disclosures of political donations and electoral expenditure under the EFEDA in the proper form and in the required timeframe. Each of these individuals was issued with a penalty notice by the Commission and has elected to have the matter dealt with by a court. Those prosecutions are expected to be commenced in the Local Court in the coming months.



“In 2014-15 we successfully procured goods in excess of \$15 million that delivered better value for the Commission”

#### Memorandum of Understanding with NSW Aboriginal Land Council

Under s121(3) of the *Aboriginal Land Rights Act 1983*, the Electoral Commissioner has responsibility for conducting the election of Councillors to the NSW Aboriginal Land Council [NSWALC]. These are next being conducted in October 2015.

We have developed and agreed a Memorandum of Understanding between the Commission and NSWALC to broadly set out the respective roles and responsibilities of each party for the election. This is the first time the election will be conducted pursuant to a Memorandum of Understanding.

#### Local Government contracts

Section 296 of the *Local Government Act 1993* enables a local council to enter into an arrangement with the Electoral Commissioner to administer its elections, referendums and polls. The following three types of election arrangements are available:

- Where the Commissioner administers a particular election (other than an ordinary election);
- Where the Commissioner administers an ordinary election and all elections thereafter until the arrangement expires 18 months prior to the next ordinary election or is otherwise terminated; and
- Where the Commissioner administers an ordinary election in exceptional circumstances.

The *Local Government Act 1993* requires each council to make a resolution within specified timeframes in order to enter into an election arrangement with the Commissioner.

In relation to the upcoming 2016 Local Government Elections, 142 councils have entered into an arrangement with the Commissioner to administer their elections and the relevant contracts have been developed and agreed.

## Business Operations

### Procurement

Our Procurement Policy Statement and Guidelines cover the required conduct for all procurement activities associated with the acquisition of goods, works or services of any value. This includes tendering arrangements and the contracting of services, and applies to all staff and contractors. We follow procurement best practice and seek best value for our expenditure.

The majority of procurement activity in 2014-15 was focussed on determining the most competent suppliers offering the best Value for Money for a range of expenditure to support the State General Election in March 2015. This included stationery, rental furniture, temporary labour hire, distribution and freight services, creative advertising services, printing and fulfilment services and IT service provision. In each case, we went to market via Requests for Tenders or Proposals, which gave potential respondents the opportunity to outline their capability and resources.

The major challenge for all procurement activity was to identify service providers who would be able to satisfy Commission requirements, particularly in relation to service provision in the unforgiving environment of preparing for a State General Election, where on time and quality delivery is critical and there are few second chances to get something right.

Environmental issues were included in our requirements where they were particularly relevant to the goods or services being sought, particularly for printing services and cardboard supply.

Our biggest procurement success in 2014-15 was in having the capability and resources to procure goods in excess of \$15 million, in a way which provided value for money as well as satisfactory delivery of goods and services.

Major procurement work anticipated in the coming year will be:

- Market testing for the provision of a new timesheet or payroll system which can be used by the thousands of additional staff we engage for the State General Election and other major elections; and
- Selection of service provider to redesign the Commission intranet.

We may also need to acquire some new service providers for the Local Government Elections in 2016.

# Accountability, Corporate Governance and Management *continued*

## Information and Records

The Commission is committed to the secure and controlled management, handling and storage of sensitive documents, records, files, materials and information in accordance with business and client needs, and to comply with the *NSW State Records Act 1998*.

We have a Records Management policy and procedures in place and are moving towards compliance with the Standards on Records Management, published by NSW State Records in February 2015.

## Sustainability and Waste Management

Reducing the impact of our activities on the environment and contributing to its restoration and protection is an important component of our work. In implementing our Sustainability Policy we:

- Consider sustainability in all relevant decision making;
- Aim to reduce greenhouse gas emissions;
- Are more efficient in the use of energy and water, and reduce wider environmental impacts associated with water and energy use;
- Meet the challenge of rising prices expected for energy, fuel, water and waste management;
- Are more efficient in the use of vehicles;
- Produce less waste and increase recycling in Government activities; and
- Use purchasing power to drive efficiency and environmental sustainability.

Greater use of online transactions is helping reduce the cost of our operations. Key initiatives which continue to reduce our use of resources include: SmartRoll; internet voting; online postal vote applications; eForms; online recruitment of election event staff; redesign of voting screens and boxes to reduce the amount of cardboard needed; and use of heat sealed instead of zip lock bags for election stationery kits, thereby reducing plastic waste.

## Plans, Policies and Procedures

The Commission observes and complies with plans, policies and procedures relating to administration management which establish standards of behaviour for all staff and provide guidance on good administrative practice. These policies and plans are available to the public and its staff through our website and intranet.

## Feedback and Complaints

We welcome comments about our performance and service delivery. Our 'Feedback and Complaints Policy' provides the overall approach and framework for the handling of feedback, including complaints we receive. The policy is based on the customer satisfaction model outlined in the NSW Ombudsman's 'Effective Complaint Handling (2004) Guidelines' and the Australian Standard ISO 10002:2004 Customer Satisfaction – 'Guidelines for complaints handling in organisations'. The aim of the policy is to ensure that:

- All members of the community have the opportunity to provide a compliment, suggestion, or lodge a complaint about the Commission;
- All feedback received is handled effectively, appropriately and in accordance with the NSW Ombudsman's recommendations; and
- Feedback received is used to assess the performance of the Commission and to determine areas for improvement.

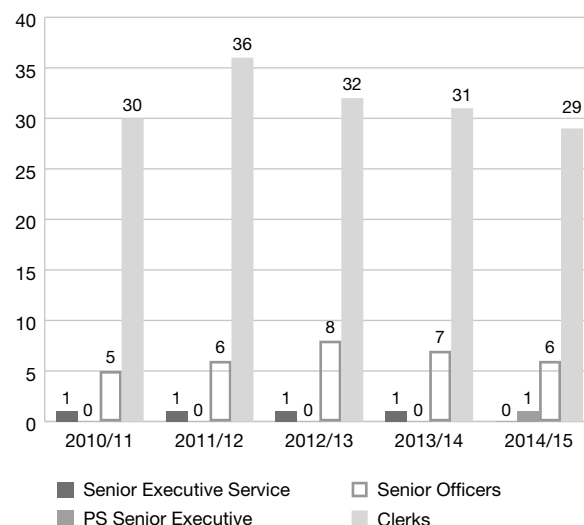
Election stakeholders are able to provide feedback to us via an online facility, letter, email, telephone and in person. Complaints are received online, by letter or email.

## Staffing

### Headcount

As at June 2015, the Commission had 36 permanent staff (as shown below) plus another 32 temporary staff.

**Figure 34 – Permanent Commission staff 2010-2015**



Both permanent and temporary staff numbers, plus the division of gender are shown below. These have remained largely unchanged since the preceding year.

**Figure 35 – Headcount (permanent and temporary) as at June 2015**

CLASSIFICATION	NUMBER	GENDER
Senior Executives	1 officer (implemented in Feb 2015)	1 Female
SES	0	0
Permanent Transitional Senior Executives (under <i>Government Sector Employment Act 2013</i> )	6	2 Female 4 Male
Temporary Transitional Senior Executives (under <i>Government Sector Employment Act 2013</i> )	3	3 Male
Permanent Officers	29	19 Female 10 Male
Temporary Officers	28	13 Female 15 Male

#### Staff Turnover (separation rates)

The 2014 NSW Workforce Profile Report quotes annual separation rates of 10.9% for non-casual Clerical and Administrative Workers. As can be seen in Figure 36, our separation rates have been a little higher than that benchmark, however, not a great deal can be read into this as our overall numbers are so small. Therefore one or two staff leaving can have a disproportionate effect on the separation rate.

In general, some separation of staff is a good thing, allowing for renewal and new ideas. High separation rates (not a problem for the Commission) would mean undue loss of corporate memory and higher costs of training and knowledge management.

**Figure 36 – Non-casual separation rates, NSW Electoral Commission, 2010-11 to 2014-15**

	2010-11	2011-12	2012-13	2013-14	2014-15
Headcount during the reporting year	61	73	71	69	78
Total commencements	7	18	7	12	14
Total continuous	50	46	49	49	54
Total separation	4	9	15	8	10
Separation rate (%)	6.6	12.3	21.1	11.6	12.8

#### Wages, Salaries and Allowances

There were no exceptional movements in wages, salaries or allowances.

#### Equity and Diversity

Our Equal Employment Opportunity policy promotes and protects equality of access to employment and development opportunities. We included equity and diversity awareness training in our staff induction program.

In addition, we have an Equal Access to Democracy Plan, where we undertake a wide range of initiatives directed at stakeholders (and described in our Conducting Elections chapter).

This included ensuring the employment, through targeted recruitment, of 395 Aboriginal people for the 2015 State General Election (compared to recruitment of 267 Aboriginal people for the 2011 State General Election). We also recruited 3,660 bilingual staff for the State General Election this year, using targeted recruitment (up from 3,311 bilingual staff in 2011).

# Accountability, Corporate Governance and Management continued

## Staff Training

Due to the demands of preparing for the 2015 State Government Election, we placed organisation-wide training on hold in favour of training for individuals based on their development plans which were aligned to conducting a successful election event. Staff members attended an average of 3.46 days of training during the year, slightly up on the average of 3.29 training days per staff member in 2013-14.

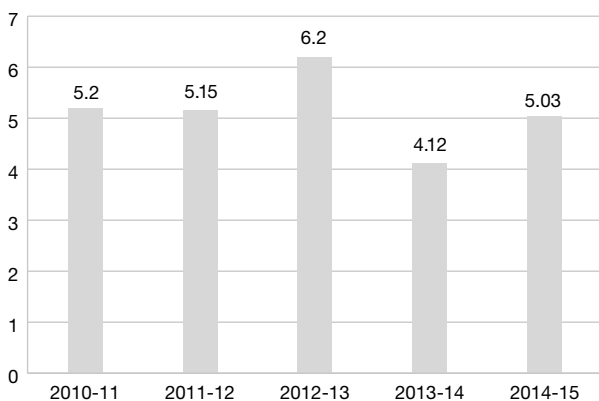
## Workplace Health and Safety (WHS)

We are strongly committed to providing a safe workplace. WHS is included in staff induction sessions. We had one WHS incident during the year where a staff member slipped on a wet floor during rain. This is consistent with previous years – in the preceding five years we had three work-related injuries to permanent staff and only one claim.

## Sick Leave

Public sector average annual sick leave hours taken per full-time employee (according to the 2014 NSW Public Sector Profile) is 61 hours. Commission sick leave for the 2014-15 year was 5.03 days (or 35.2 hours based on a 35 hour working week). Our sick leave is therefore less than 60% of the sick leave rate across the public sector generally). Sick leave in 2014-15 is generally consistent with leave taken over the past five years, as shown below.

**Figure 37 – Sick leave taken, 2010-15**



## Public Interest Disclosures and Corruption Prevention

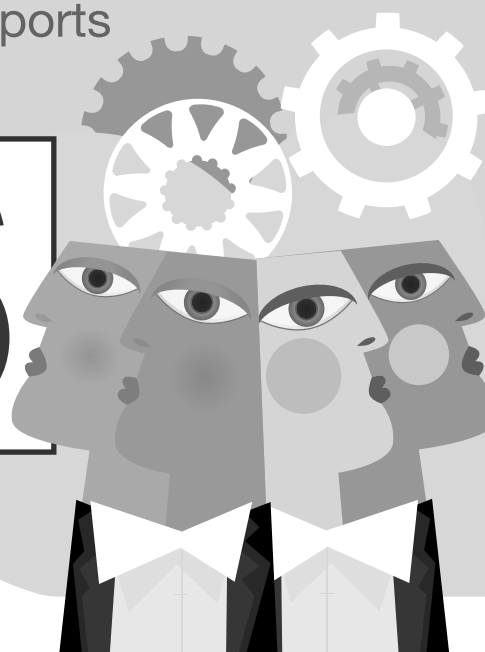
The *Public Interest Disclosures Act 2013* sets in place a system to encourage public officials to report serious wrongdoing. Staff members are made aware of their internal reporting and public interest disclosure obligations through training activities under our Code of Conduct and Corruption Prevention Strategy. An outline of the Code is at Appendix 12.

During the reporting year no public interest disclosures were made or received and no reports of suspected corrupt conduct were lodged via the internal reporting system.

“Staff members on average attended 3.46 days of training during the year – this is a slight increase from the previous year”

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► **PART 6**  
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# Financial Summary and Performance

## 5-YEAR TREND ANALYSIS

\$'000's	2010-11	2011-12	2012-13	2013-14	2014-15 (1)
<b>REVENUE</b>					
Government Contributions	61,504	25,010	25,717	32,318	97,990
Sale of Goods and Services	946	4,074	3,381	717	1,231
Investment Revenue	357	97	224	176	147
Other Revenue			18,616		-
<b>Total Revenue</b>	<b>62,807</b>	<b>29,181</b>	<b>47,938</b>	<b>33,211</b>	<b>99,368</b>
<b>EXPENDITURE</b>					
Employee Related	8,030	11,039	8,102	8,432	29,087 <sup>(2)</sup>
Other Operating Exp	3,838	5,347	9,863	13,215	45,537
Depreciation & Amortisation	3,798	5,633	5,245	4,725	6,054
Other Expenditure	41,524	9,359	25,096	7,803	19,880
<b>Total Expenditure</b>	<b>57,190</b>	<b>31,378</b>	<b>48,306</b>	<b>34,175</b>	<b>100,558</b>
<b>ASSETS</b>					
Cash, Receivables and Inventories	2,061	7,440	7,837	6,339	7,972
Plant & Equipment	2,865	1,990	1,209	2,143	2,363
Intangible Assets	19,829	16,776	13,787	13,764	11,986
<b>Total Assets</b>	<b>24,755</b>	<b>26,206</b>	<b>22,833</b>	<b>22,246</b>	<b>22,321</b>
<b>Total Liabilities</b>	<b>3,171</b>	<b>6,820</b>	<b>3,820</b>	<b>4,200</b>	<b>5,473</b>
<b>Total Equity</b>	<b>21,584</b>	<b>19,386</b>	<b>19,013</b>	<b>18,046</b>	<b>16,848</b>
<b>Administered Revenues</b> <sup>(3)</sup>	<b>8,474</b>	<b>496</b>	<b>11,660</b>	<b>573</b>	<b>19,585</b>
<b>PAYMENT OF ACCOUNTS</b>					
<b>Paid under 30 days</b>	<b>89.1%</b>	<b>95.3%</b>	<b>99.4%</b>	<b>99.6%</b>	<b>99.8%</b>

Notes: (1) 2014/15 includes seven months consolidated activity of the former Election Funding Authority of NSW.  
(2) 2014/15 'Employee Related' includes Election Official Wages previously described under 'Other Expenditure'  
(3) 'Administered Revenues' are related to fines for failure to vote collected on behalf of the NSW Government.

# Financial Position

The NSWEC carries out its functions in accordance with the *Public Finance and Audit Act 1983* and the Treasurer's Directions. Audited financial statements accompany this report.

## Net result

The actual net result was \$4,301,000 lower than the budgeted amount of \$3,103,000. This is mainly due to a reduction in capital appropriations of \$3,816,000 for projects approved to be rolled over to the new financial year. Total expenses were \$8,330,000 higher than budget. This was largely due to a \$6,881,000 increase in costs to run the state general election and \$1,370,000 in costs to reconstitute the NSWEC. This increase was offset by corresponding increase in revenue from government funding and grants received.

## Payment of accounts

The following table details our performance in paying accounts for each quarter.

**Figure 38 – Payment of accounts for the 2014-15 year**

QUARTER	CURRENT (IE WITHIN DUE DATE) (\$)	LESS THAN 30 DAYS OVERDUE (\$)	BETWEEN 30 AND 60 DAYS OVERDUE (\$)	BETWEEN 60 AND 90 DAYS OVERDUE (\$)	MORE THAN 90 DAYS OVERDUE (\$)	TARGET %	ACTUAL %	TOTAL \$
September	1,701,837	0	0	4,432	0	100	99.7	1,706,269
December	5,978,137	0	0	0	0	100	100	5,978,137
March	23,310,663	0	32,945	559	323	100	99.9	23,344,490
June	38,835,166	0	109,601	295	0	100	99.7	38,945,062
<b>Total</b>	<b>69,825,803</b>	<b>0</b>	<b>142,546</b>	<b>5,286</b>	<b>323</b>	<b>100</b>	<b>99.8</b>	<b>69,973,958</b>

## Time for payment of accounts

Our performance in payments continues to be high with an average of 99.8% of all accounts being paid on time. There were no instances where interest was paid due to late payments.

## Major works

We engaged in 5 major works projects during the year ending 30 June 2015. These were:

- Funding and Disclosure Management System \$0.5 million
- ICT Infrastructure \$0.5 million
- I-Vote online System \$0.7 million
- Roll Management System \$1.7 million
- I-Roll portable devices \$0.6 million

# Financial Position continued

## **Major assets**

We have \$22.321 million in assets of which \$14.349 million are plant and equipment and intangible assets.

## **Consultants**

During the year, we engaged three consultants at a total cost of \$89,000. The consultancy work was categorised as management services.

## **Credit card certification**

We have entered into an arrangement with Westpac Banking Corporation for the provision of credit cards. The use of the credit card is governed by our 'Credit Card Policy' which employees acknowledge upon application for a credit card. The NSW Electoral Commissioner certifies that the usage of credit cards within the reporting period has been in accordance with Premier's Memoranda and the Treasurer's Directions.

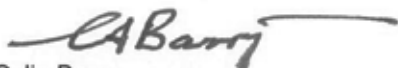


# Statement by the Electoral Commissioner

## **Statement by the Electoral Commissioner**

Pursuant to Section 41C(1B) of the *Public Finance and Audit Act 1983*, I, to the best of my knowledge and belief state that:

- (a) The accompanying financial statements of the New South Wales Electoral Commission have been prepared in accordance with Australian Accounting Standards (which include Australian Accounting Interpretations), the requirements of the *Public Finance and Audit Act 1983*, the *Public Finance and Audit Regulation 2015*, the Treasurer's Directions, and the Financial Reporting Code for NSW General Government Sector Entities;
- (b) The statements exhibit a true and fair view of the financial position as at 30 June 2015 of the New South Wales Electoral Commission and financial performance for the year then ended; and
- (c) There are no circumstances which would render any particulars included in the financial statements to be misleading or inaccurate.



Colin Barry  
Electoral Commissioner  
2 September 2015

# Independent Auditor's Report



## INDEPENDENT AUDITOR'S REPORT

### New South Wales Electoral Commission

To Members of the New South Wales Parliament

I have audited the accompanying financial statements of the New South Wales Electoral Commission (the Commission), which comprise the statement of financial position as at 30 June 2015, the statement of comprehensive income, the statement of changes in equity and the statement of cash flows and a summary of compliance with financial directives for the year then ended, notes comprising a summary of significant accounting policies and other explanatory information of the Commission and the consolidated entity. The consolidated entity comprises the Commission and the entities it controlled at the year's end or from time to time during the financial year.

### Opinion

In my opinion, the financial statements:

- give a true and fair view of the financial position of the Commission and the consolidated entity as at 30 June 2015, and of their financial performance and cash flows for the year then ended in accordance with Australian Accounting Standards
- are in accordance with section 41B of *Public Finance and Audit Act 1983* (PF&A Act) and the Public Finance and Audit Regulation 2015.

My opinion should be read in conjunction with the rest of this report.

### The Electoral Commissioner's Responsibility for the Financial Statements

The Electoral Commissioner is responsible for preparing financial statements that give a true and fair view in accordance with Australian Accounting Standards and the PF&A Act and for such internal control as the Electoral Commissioner determines is necessary to enable the preparation of financial statements that give a true and fair view and are free from material misstatement, whether due to fraud or error.

### Auditor's Responsibility

My responsibility is to express an opinion on the financial statements based on my audit. I conducted my audit in accordance with Australian Auditing Standards. Those standards require that I comply with relevant ethical requirements relating to audit engagements and plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgement, including an assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation of the financial statements that give a true and fair view in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

# Independent Auditor's Report

I believe the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

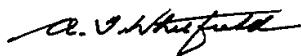
My opinion does *not* provide assurance:

- about the future viability of the Commission or consolidated entity
- that they have carried out their activities effectively, efficiently and economically
- about the effectiveness of the internal control
- about the assumptions used in formulating the budget figures disclosed in the financial statements
- about the security and controls over the electronic publication of the audited financial statements on any website where they may be presented
- about any other information, that may have been hyperlinked to/from the financial statements.

## Independence

In conducting my audit, I have complied with the independence requirements of the Australian Auditing Standards and other relevant ethical pronouncements. The PF&A Act further promotes independence by:

- providing that only Parliament, and not the executive government, can remove an Auditor-General
- mandating the Auditor-General as auditor of public sector agencies but precluding the provision of non-audit services, thus ensuring the Auditor-General and the Audit Office of New South Wales are not compromised in their role by the possibility of losing clients or income.



A T Whitfield PSM  
Acting Auditor-General

7 September 2015  
SYDNEY

## START OF AUDITED FINANCIAL STATEMENTS

## Statement of comprehensive income

FOR THE YEAR ENDED 30 JUNE 2015

	NOTES	CONSOLIDATED			PARENT	
		ACTUAL 2015 \$'000	BUDGET 2015 \$'000	ACTUAL 2014* \$'000	ACTUAL 2015 \$'000	ACTUAL 2014* \$'000
<b>EXPENSES EXCLUDING LOSSES</b>						
<b>Operating expenses</b>						
Employee related	2(a)	29,087	12,786	8,432	490	425
Personnel services	2(b)	-	-	-	28,255	7,601
Other operating expenses	2(c)	45,537	7,929	13,215	45,537	13,215
Depreciation and amortisation	2(d)	6,054	6,459	4,725	6,054	4,725
Other expenses	2(e)	19,880	65,054	7,803	19,880	7,803
<b>Total Expenses excluding losses</b>		<b>100,558</b>	<b>92,228</b>	<b>34,175</b>	<b>100,216</b>	<b>33,769</b>
<b>REVENUE</b>						
Recurrent appropriation (net of transfer payments)	3(a)	92,629	86,017	26,248	92,629	26,248
Capital appropriation (net of transfer payments)	3(a)	3,649	7,465	5,573	3,649	5,573
Sale of goods and services	3(b)	1,231	1,221	717	1,231	717
Investment revenue	3(c)	147	174	176	147	176
Acceptance by the Crown Entity of employee benefits and other liabilities	3(d)	342	454	406	-	-
Grants and contributions	3(e)	1,370	-	91	1,370	91
<b>Total Revenue</b>		<b>99,368</b>	<b>95,331</b>	<b>33,211</b>	<b>99,026</b>	<b>32,805</b>
<b>Loss on disposal</b>	4	<b>8</b>	<b>-</b>	<b>3</b>	<b>8</b>	<b>3</b>
<b>Net Result</b>	21	<b>(1,198)</b>	<b>3,103</b>	<b>(967)</b>	<b>(1,198)</b>	<b>(967)</b>
<b>Other comprehensive income</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total other comprehensive income</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>TOTAL COMPREHENSIVE INCOME</b>		<b>(1,198)</b>	<b>3,103</b>	<b>(967)</b>	<b>(1,198)</b>	<b>(967)</b>

\*Refer note 7 for details of restatement of 2014 comparatives resulting from reclassification of expenses.  
The accompanying notes form part of these financial statements.

# Statement of changes in equity

FOR THE YEAR ENDED 30 JUNE 2015

	ACCUMULATED FUNDS	
	NOTES	PARENT \$'000
<b>Balance at 1 July 2014</b>		<b>18,046</b>
Net result for the year		(1,198)
Total other comprehensive income		-
<b>Total comprehensive income for the year</b>		<b>(1,198)</b>
<b>Balance at 30 June 2015</b>		<b>16,848</b>
Balance at 1 July 2013		19,013
Net result for the year		(967)
Total other comprehensive income		-
<b>Total comprehensive income for the year</b>		<b>(967)</b>
<b>Balance at 30 June 2014</b>		<b>18,046</b>

The accompanying notes form part of these financial statements.

# Statement of financial position

AS AT 30 JUNE 2015

	NOTES	CONSOLIDATED			PARENT	
		ACTUAL 2015 \$'000	BUDGET 2015 \$'000	ACTUAL 2014 \$'000	ACTUAL 2015 \$'000	ACTUAL 2014 \$'000
<b>ASSETS</b>						
<b>Current Assets</b>						
Cash and cash equivalents	8	6,685	4,015	4,937	6,685	4,937
Receivables	9	1,153	4,121	1,281	1,153	1,281
Inventories	10	134	150	121	134	121
<b>Total Current Assets</b>		<b>7,972</b>	<b>8,286</b>	<b>6,339</b>	<b>7,972</b>	<b>6,339</b>
<b>NON-CURRENT ASSETS</b>						
Plant and equipment	11	2,363	5,592	2,143	2,363	2,143
Intangible assets	12	11,986	11,389	13,764	11,986	13,764
<b>Total Non-Current Assets</b>		<b>14,349</b>	<b>16,981</b>	<b>15,907</b>	<b>14,349</b>	<b>15,907</b>
<b>Total Assets</b>		<b>22,321</b>	<b>25,267</b>	<b>22,246</b>	<b>22,321</b>	<b>22,246</b>
<b>LIABILITIES</b>						
<b>Current Liabilities</b>						
Payables	15	2,859	1,281	2,405	2,859	2,405
Provisions	16	1,466	890	1,260	1,466	1,260
Other	17	594	2	33	594	33
<b>Total Current Liabilities</b>		<b>4,919</b>	<b>2,173</b>	<b>3,698</b>	<b>4,919</b>	<b>3,698</b>
<b>NON-CURRENT LIABILITIES</b>						
Provisions	16	554	500	502	554	502
<b>Total Non-Current Liabilities</b>		<b>554</b>	<b>500</b>	<b>502</b>	<b>554</b>	<b>502</b>
<b>Total Liabilities</b>		<b>5,473</b>	<b>2,673</b>	<b>4,200</b>	<b>5,473</b>	<b>4,200</b>
<b>Net Assets</b>		<b>16,848</b>	<b>22,594</b>	<b>18,046</b>	<b>16,848</b>	<b>18,046</b>
<b>EQUITY</b>						
Accumulated funds		16,848	22,594	18,046	16,848	18,046
<b>Total Equity</b>		<b>16,848</b>	<b>22,594</b>	<b>18,046</b>	<b>16,848</b>	<b>18,046</b>

The accompanying notes form part of these financial statements.

# Statement of cash flows

FOR THE YEAR ENDED 30 JUNE 2015

	NOTES	CONSOLIDATED			PARENT	
		ACTUAL 2015 \$'000	BUDGET 2015 \$'000	ACTUAL 2014 \$'000	ACTUAL 2015 \$'000	ACTUAL 2014 \$'000
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>						
<b>Payments</b>						
Employee related		(28,812)	(12,387)	(7,798)	-	-
Personnel services		-	-	-	(28,812)	(7,798)
Other		(70,460)	(78,133)	(23,042)	(70,460)	(23,042)
<b>Total Payments</b>		<b>(99,272)</b>	<b>(90,520)</b>	<b>(30,840)</b>	<b>(99,272)</b>	<b>(30,840)</b>
<b>RECEIPTS</b>						
Recurrent appropriation		93,190	86,017	26,248	93,190	26,248
Capital appropriation (excluding equity appropriations)		3,649	7,465	5,329	3,649	5,329
Sale of goods and services		2,937	189	1,452	2,937	1,452
Interest received		158	174	200	158	200
Other		5,590	5,000	2,313	5,590	2,313
<b>Total Receipts</b>		<b>105,524</b>	<b>98,845</b>	<b>35,542</b>	<b>105,524</b>	<b>35,542</b>
<b>NET CASH FLOWS FROM OPERATING ACTIVITIES</b>	21	<b>6,252</b>	<b>8,325</b>	<b>4,702</b>	<b>6,252</b>	<b>4,702</b>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>						
Proceeds from sale of plant and equipment and intangible assets		-	-	3	-	3
Purchases of plant and equipment and intangible assets		(4,504)	(7,465)	(5,640)	(4,504)	(5,640)
<b>NET CASH FLOWS FROM INVESTING ACTIVITIES</b>		<b>(4,504)</b>	<b>(7,465)</b>	<b>(5,637)</b>	<b>(4,504)</b>	<b>(5,637)</b>
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>						
<b>NET CASH FLOWS FROM FINANCING ACTIVITIES</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NET INCREASE/(DECREASE) IN CASH</b>		<b>1,748</b>	<b>860</b>	<b>(935)</b>	<b>1,748</b>	<b>(935)</b>
Opening cash and cash equivalents		4,937	3,155	5,872	4,937	5,872
<b>CLOSING CASH AND CASH EQUIVALENTS</b>	8	<b>6,685</b>	<b>4,015</b>	<b>4,937</b>	<b>6,685</b>	<b>4,937</b>

The accompanying notes form part of these financial statements.

# Summary of compliance with financial directives

FOR THE YEAR ENDED 30 JUNE 2015

	2015				2014			
	RECURRENT APPROPRIATION	EXPENDITURE/ NET CLAIM ON CONSOLIDATED FUND	CAPITAL APPROPRIATION	EXPENDITURE/ NET CLAIM ON CONSOLIDATED FUND	RECURRENT APPROPRIATION	EXPENDITURE/ NET CLAIM ON CONSOLIDATED FUND	CAPITAL APPROPRIATION	EXPENDITURE/ NET CLAIM ON CONSOLIDATED FUND
	\$'000	\$'000	\$'000	\$'000	\$'000	\$'000	\$'000	\$'000
<b>ORIGINAL BUDGET APPROPRIATION/ EXPENDITURE</b>								
Appropriation Act	86,017	85,424	7,465	4,504	35,849	34,088	6,175	5,573
<b>OTHER APPROPRIATIONS/EXPENDITURE</b>								
Transfers to/from another entity (Per Section 32 of the Appropriation Act)	-	-	-	-	517	-	-	-
Treasurer's Advance	26,600	16,814	-	-	-	-	-	-
Other Appropriations	-	-	-	-	777	-	-	-
<b>Total Appropriations/Expenditure/Net Claim on Consolidated Fund (includes transfer payments)</b>	<b>112,617</b>	<b>102,238</b>	<b>7,465</b>	<b>4,504</b>	<b>37,143</b>	<b>34,088</b>	<b>6,175</b>	<b>5,573</b>
<b>Amount drawn down against Appropriation</b>	<b>112,617</b>	<b>102,832</b>	<b>7,465</b>	<b>3,649</b>	<b>-</b>	<b>34,121</b>	<b>-</b>	<b>5,573</b>
<b>Liability to Consolidated Fund</b>	<b>-</b>	<b>(594)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(33)</b>	<b>-</b>	<b>-</b>

The Summary of Compliance is based on the assumption that Consolidated Fund moneys are spent first (except where otherwise identified or prescribed).

The "Liability to Consolidated Fund" represents the difference between the "Amount drawn down against Appropriation" and the "Total Expenditure/Net Claim on Consolidated Fund".

Refer also to Note 14.

The accompanying notes form part of these financial statements.



# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 1. Summary of Significant Accounting Policies

### a) Reporting entity

The New South Wales Electoral Commission (NSWEC) is an independent statutory authority established under the *Parliamentary Electorates and Elections Act 1912 No 41*. We conduct state elections, local council elections, NSW Aboriginal Land Councils and certain statutory elections.

With effect 1 December 2014, NSWEC assumed the activity previously carried out by the Election Funding Authority (refer below), and is now responsible for public funding to eligible political parties, candidates and independent members of Parliament.

The NSWEC is a NSW government entity. The NSWEC is a not-for-profit entity (as profit is not its principal objective) and it has no cash generating units. The reporting entity is consolidated as part of the NSW Total State Sector Accounts.

The NSWEC, as a reporting entity, comprises all the entities under its control, namely the parent entity and the New South Wales Electoral Commission Staff Agency.

In the process of preparing the consolidated financial statements for the economic entity, consisting of the controlling and controlled entities, all inter-entity transactions and balances have been eliminated, and like transactions and other events are accounted for using uniform accounting policies.

On 1 December 2014, the *Electoral and Lobbying Legislation Amendment (Electoral Commission) Act 2014* commenced. The objects of the Act were to:

- Reconstitute the NSWEC so that it is constituted by the Electoral Commissioner, a former Judge and a Member with financial and audit skills.
- Abolish the Election Funding Authority (EFA) and to confer EFA's functions to the reconstituted NSWEC.
- Provide for a Register of Third-Party Lobbyists, a Lobbyist Watch List and a Code of Conduct for third-party and other lobbyists, and to confer the function of keeping the Register and Watch List and of enforcing compliance with the Code to the NSWEC.

These consolidated financial statements for the year ended 30 June 2015 have been authorised for issue by the Electoral Commissioner on 2 September 2015.

### b) Basis of preparation

The NSWEC's financial statements are general purpose financial statements which have been prepared on an accrual basis and in accordance with:

- applicable Australian Accounting Standards (which include Australian Accounting Interpretations);
- the requirements of the *Public Finance and Audit Act 1983* and *Public Finance and Audit Regulation 2015*; and
- the Financial Reporting Directions published in the Financial Reporting Code for NSW General Government Sector Entities or issued by the Treasurer.

Plant and equipment is measured at fair value. Other financial statements items are prepared in accordance with the historical cost convention.

Judgements, key assumptions and estimations management has made are disclosed in the relevant notes to the financial statements.

All amounts are rounded to the nearest one thousand dollars and are expressed in Australian currency.

### c) Statement of compliance

The financial statements and notes comply with Australian Accounting Standards, which include Australian Accounting Interpretations.

### d) Administered activities

The NSWEC administers, but does not control, certain activities on behalf of the Crown Entity. It is accountable for the transactions relating to those administered activities but does not have the discretion, for example, to deploy the resources for the achievement of the NSWEC's own objectives.

Transactions and balances relating to the administered activities are not recognised as the NSWEC's revenue, expenses, assets and liabilities, but are disclosed in the accompanying schedules as "Administered Income" and "Administered Expenses".

The accrual basis of accounting and applicable accounting standards have been adopted.

Responsibility for administered receivables are transferred to the Office of State Revenue for debt collection after 12 months.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## e) Insurance

The NSWEC's insurance activities are conducted through the NSW Treasury Managed Fund Scheme of self-insurance for Government agencies. The expense (premium) is determined by the Fund Manager based on past claims experience.

## f) Accounting for the Goods and Services Tax (GST)

Revenue, expenses and assets are recognised net of the amount of GST, except that:

- The amount of GST incurred by the NSWEC as a purchaser that is not recoverable from the Australian Taxation Office is recognised as part of the cost of acquisition of an asset or as part of an item of expense; and
- Receivables and payables are stated with the amount of GST included.

Cash flows are included in the statement of cash flows on a gross basis. However, the GST components of cash flows arising from investing and financing activities which are recoverable from, or payable to, the Australian Taxation Office are classified as operating cash flows.

## g) Revenue recognition

Revenue is measured at the fair value of the consideration or contribution received or receivable. Additional comments regarding the accounting policies for the recognition of revenue are discussed below.

### i) Parliamentary appropriations and contributions

Except as specified below, parliamentary appropriations and contributions from other bodies (including grants and donations) are generally recognised as revenue when the NSWEC obtains control over the assets comprising the appropriations/contributions. Control over appropriations and contributions is normally obtained upon the receipt of cash.

Appropriations are not recognised as revenue when the appropriations are unspent at year end. Unspent appropriations are recognised as liabilities rather than revenue, as the authority to spend the money lapses and the unspent amount must be repaid to the Consolidated Fund.

The liability is disclosed in Note 17 as part of "Current Liabilities – Other". The amount will be repaid and the liability will be extinguished next financial year. Any liability in respect of transfer payments is disclosed in Note 22 "Administered assets and liabilities".

## ii) Sale of goods

Revenue from the sale of goods is recognised as revenue when the NSWEC transfers the significant risks and rewards of ownership of the assets.

## iii) Rendering of services

Revenue is recognised when the service is provided or by reference to the stage of completion (based on labour hours incurred to date).

## iv) Investment revenue

Interest revenue is recognised using the effective interest method as set out in *AASB 139 Financial Instruments: Recognition and Measurement*.

## h) Assets

### i) Acquisition of assets

The cost method of accounting is used for the initial recording of all acquisitions of assets controlled by the NSWEC. Cost is the amount of cash or cash equivalents paid or the fair value of the other consideration given to acquire the asset at the time of its acquisition or construction or, where applicable, the amount attributed to that asset when initially recognised in accordance with the requirements of other Australian Accounting Standards.

Assets acquired at no cost, or for nominal consideration, are initially recognised at their fair value at the date of acquisition.

Fair value is the price that would be received to sell an asset in an orderly transaction between market participants at measurement date.

Where payment for an asset is deferred beyond normal credit terms, its cost is the cash price equivalent, i.e. the deferred payment amount is effectively discounted over the period of credit.

### ii) Capitalisation thresholds

Plant and equipment and intangible assets costing \$5,000 and above individually (or forming part of a network costing more than \$5,000) are capitalised.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## iii) Revaluation of plant and equipment

Consistent with the "Valuation of Physical Non-Current assets at Fair Value" Policy and Guidelines Paper (TPP 14-01) NSWEC measures its physical non-current assets at fair value. This policy adopts fair value in accordance with *AASB 113 Fair Value Measurement* and *AASB 116 Property, Plant and Equipment*.

Fair value of plant and equipment is based on a market participants' perspective, using valuation techniques (market approach, cost approach, income approach) that maximise relevant observable inputs and minimise unobservable inputs. Also refer Note 11 and Note 13 for further information regarding fair value.

Non-specialised assets with short useful lives are measured at depreciated historical cost, as a surrogate for fair value.

## iv) Impairment of plant and equipment

As a not-for-profit entity with no cash generating units, impairment under *AASB 136 Impairment of Assets* is unlikely to arise. As plant and equipment is carried at fair value, or an amount that approximates fair value, impairment can only arise in the rare circumstances such as where the costs of disposal are material. Specifically, impairment is unlikely for not-for-profit entities given that *AASB 136* modifies the recoverable amount test for non-cash generating assets of not-for-profit entities to the higher of fair value less costs of disposal and depreciated replacement cost, where depreciated replacement cost is also fair value.

## v) Depreciation of plant and equipment

Depreciation is provided for on a straight-line basis for all depreciable assets so as to write off the depreciable amount of each asset as it is consumed over its useful life to the NSWEC.

All material separately identifiable components of assets are depreciated over their shorter useful lives.

ASSET TYPE	USEFUL LIFE
Computer Equipment	4 Years
Plant and Equipment	7 Years
Furniture and Fixtures	8 Years
Leasehold Improvements	7 Years or to the end of the lease, if shorter

## vi) Restoration costs

The estimated cost of dismantling and removing an asset and restoring the site is included in the cost of an asset, to the extent it is recognised as a liability.

## vii) Maintenance

Day-to-day servicing costs or maintenance are charged as expenses as incurred, except where they relate to the replacement of a part or component of an asset, in which case the costs are capitalised and depreciated.

## viii) Leased assets

Operating lease payments are recognised as an expense in the Statement of Comprehensive Income on a straight line basis over the lease term. A distinction is made between finance leases which effectively transfer from the lessor to the lessee substantially all the risks and benefits incidental to ownership of the leased assets, and operating leases under which the lessor does not transfer substantially all the risks and rewards.

No assets have been acquired under finance lease arrangements.

## ix) Intangible assets

The NSWEC recognises intangible assets only if it is probable that future economic benefits will flow to the NSWEC and the cost of the asset can be measured reliably. Intangible assets are measured initially at cost. Where an asset is acquired at no or nominal cost, the cost is its fair value as at the date of acquisition. Currently, the NSWEC's intangible assets solely comprise software.

All research costs are expensed. Development costs are only capitalised when certain criteria are met.

The useful lives of intangible assets are assessed to be finite.

Intangible assets are subsequently measured at fair value only if there is an active market. As there is no active market for the NSWEC's intangible assets, the assets are carried at cost less any accumulated amortisation and impairment losses.

The NSWEC's intangible assets are amortised using the straight line method over a period of between 4 years and 8 years.

Intangible assets are tested for impairment where an indicator of impairment exists. If the recoverable amount is less than its carrying amount the carrying amount is reduced to recoverable amount and the reduction is recognised as an impairment loss.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## x) Inventories

Inventories held for distribution are stated at cost, adjusted when applicable, for any loss of service potential. A loss of service potential is identified and measured based on the existence of a current replacement cost that is lower than the carrying amount. Inventories (other than those held for distribution) are stated at the lower of cost and net realisable value.

## xi) Receivables

Receivables are non-derivative financial assets with fixed or determinable payments that are not quoted in an active market. These financial assets are recognised initially at fair value, usually based on the transaction cost or face value. Subsequent measurement is at amortised cost using the effective interest rate method, less an allowance for any impairment of receivables. Any changes are recognised in the net result for the year when impaired, derecognised or through the amortisation process.

Short-term receivables with no stated interest rate are measured at the original invoice amount where the effect of discounting is immaterial.

## xii) Impairment of financial assets

All financial assets, except those measured at fair value through profit and loss, are subject to an annual review for impairment. An allowance for impairment is established when there is objective evidence that the entity will not be able to collect all amounts due.

For financial assets carried at amortised cost, the amount of the allowance is the difference between the asset's carrying amount and the present value of estimated future cash flows, discounted at the effective interest rate. The amount of the impairment loss is recognised in the net result for the year.

Any reversals of impairment losses are reversed through the net result for the year, where there is objective evidence. However, reversals of impairment losses on an investment in an equity instrument classified as 'available – for – sale' must be made through the revaluation surplus. Reversals of impairment losses of financial assets carried at amortised cost cannot result in a carrying amount that exceeds what the carrying amount would have been had there not been an impairment loss.

## xiii) Derecognition of financial assets and financial liabilities

A financial asset is derecognised when the contractual rights to the cash flows from the financial assets expire; or if the entity transfers the financial asset:

- where substantially all the risks and rewards have been transferred or
- where the entity has not transferred substantially all the risks and rewards, if the entity has not retained control.

Where the entity has neither transferred nor retained substantially all the risks and rewards or transferred control, the asset is recognised to the extent of the entity's continuing involvement in the asset.

A financial liability is derecognised when the obligation specified in the contract is discharged or cancelled or expires.

## i) Liabilities

### i) Payables

These amounts represent liabilities for goods and services provided to the NSWEC and other amounts. Payables are recognised initially at fair value, usually based on the transaction cost or face value. Subsequent measurement is at amortised cost using the effective interest method. Short-term payables with no stated interest rate are measured at the original invoice amount where the effect of discounting is immaterial.

### ii) Personnel services provision and employee benefits provision

The New South Wales Electoral Commission Staff Agency provides employees to the NSWEC entity to enable it to carry out its functions. Personnel services provision relates to employee related provisions for those employees employed by the New South Wales Electoral Commission Staff Agency.

Employee benefits provision relates to employees directly employed by NSWEC.

Employee related provisions include:

#### a) Salaries and wages, annual leave, sick leave and on-costs

Salaries and wages (including non-monetary benefits) and paid sick leave that are expected to be settled wholly within 12 months after the end of the period in which the employees render the service are recognised and measured at the undiscounted amounts of the benefits.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

Annual leave is not expected to be settled wholly before twelve months after the end of the annual reporting period in which the employees render the related service. As such it is required to be measured at present value in accordance with *AASB 119 Employee Benefits* (although shortcut methods are permitted). Actuarial advice obtained by Treasury has confirmed that the use of a nominal annual leave approach plus the annual leave on nominal liability (using 7.9% of the nominal value of annual leave) can be used to approximate the present value of the annual leave liability. The NSWEC has assessed the actuarial advice based on the NSWEC's circumstances and has determined that the effect of discounting is immaterial to annual leave.

Unused non-vesting sick leave does not give rise to a liability as it is not considered probable that sick leave taken in the future will be greater than the benefits accrued in the future.

## b) Long service leave and superannuation

The NSWEC's liabilities for long service leave and defined benefit superannuation are assumed by the Crown Entity. The NSWEC accounts for the liability as having been extinguished, resulting in the amount assumed being shown as part of the non-monetary revenue item described as "Acceptance by the Crown Entity of employee benefits and other liabilities".

Long service leave is measured at present value in accordance with *AASB 119 Employee Benefits*. This is based on the application of certain factors (specified in NSWTC 15-09) to employees with five or more years of service, using current rates of pay. These factors were determined based on an actuarial review to approximate present value.

The superannuation expense for the financial year is determined by using the formulae specified in the Treasurer's Directions. The expense for certain superannuation schemes (i.e. Basic Benefit and First State Super) is calculated as a percentage of the employees' salary. For other superannuation schemes (i.e. State Superannuation Scheme and State Authorities Superannuation Scheme), the expense is calculated as a multiple of the employees' superannuation contributions.

## c) Consequential on-costs

Consequential costs to employment are recognised as liabilities and expenses where the employee benefits to which they relate have been recognised. This includes outstanding amounts of payroll tax, workers' compensation, insurance premiums and fringe benefits tax.

## iii) Other provisions

Other provisions exist when: the NSWEC has a present legal or constructive obligation as a result of a past event; it is probable that an outflow of resources will be required to settle the obligation; and a reliable estimate can be made of the amount of the obligation.

If the effect of the time value of money is material, provisions are discounted at 2.16% which is a pre-tax rate that reflects the current market assessments of the time value of money and the risks specific to the liability.

## j) Fair value hierarchy

A number of the NSWEC's accounting policies and disclosures require the measurement of fair values, for both financial and non-financial assets and liabilities. When measuring fair value, the valuation technique used maximises the use of relevant observable inputs and minimises the use of unobservable inputs. Under AASB 13, the NSWEC categorises, for disclosure purposes, the valuation techniques based on the inputs used in the valuation techniques as follows;

- Level 1 – quoted prices in active markets for identical assets/liabilities that the entity can access at the measurement date.
- Level 2 – inputs other than quoted prices included within Level 1 that are observable, either directly or indirectly.
- Level 3 – inputs that are not based on observable market data (unobservable inputs).

The NSWEC recognises transfers between levels of the fair value hierarchy at the end of the reporting period during which the change has occurred.

Refer to Note 13 and Note 25 for further disclosures regarding fair value measurements of financial and non-financial assets.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

k) Equity and reserves

**a) Accumulated Funds**

The category accumulated funds includes all current and prior period retained funds.

l) Budgeted amounts

The budgeted amounts are drawn from the original budgeted financial statements presented to Parliament in respect of the reporting period. Subsequent amendments to the original budget (e.g. adjustment for transfer of functions between entities as a result of Administrative Arrangements Orders) are not reflected in the budgeted amounts. Major variances between the original budgeted amounts and the actual amounts disclosed in the primary financial statements are explained in Note 20.

m) Comparative information

Except when an Australian Accounting Standard permits or requires otherwise, comparative information is disclosed in respect of the previous period for all amounts reported in the financial statements. Where appropriate, comparative figures have been reclassified to conform to the basis of presentation and classification used in the current year.

In the financial year ended 30 June 2014, fees paid to Election Officials and costs associated with the elections were included within 'Other Expenses' in the Statement of Comprehensive Income. In 2014-15 election costs have been classified as operating expenses and fees paid to Election Officials classified as employee related expenses.

The 30 June 2014 comparatives have been restated for election costs. Election costs were reclassified from 'Other Expenses' to 'Operating Expenses' (refer to note 7). The 30 June 2014 comparatives for fees paid to Election Officials of \$634,000 have not been reclassified.

n) Changes in accounting policy, including new or revised Australian Accounting Standards

**i) Effective for the first time in 2014-15**

The accounting policies applied in 2014-15 are consistent with those of the previous financial year. NSWEC has adopted all of the new, revised or amending Standards and Interpretations issued by the Australian Accounting Standards Board ('AASB') that are relevant and effective for current reporting year. The adoption of these new Standards and Interpretations did not have any impact on the financial performance or position of the NSWEC.

**ii) Issued but not yet effective**

NSW public sector entities are not permitted to early adopt new Australian Accounting Standards, unless Treasury determines otherwise.

A number of new Accounting Standards have not been applied and are not yet effective. The possible impact of these Standards in the period of initial application is unlikely to be material.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 2. Expenses Excluding Losses

### a) Employee related expenses

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Salaries and wages (including annual leave)	25,317	6,895	415	353
Superannuation				
defined benefit Plan	88	119	-	-
defined contribution Plan	1,639	543	25	18
Long service leave	236	323	26	37
Workers' compensation insurance	47	27	1	1
Payroll tax and fringe benefits tax	1,760	434	23	16
Redundancy	-	91	-	-
	<b>29,087</b>	<b>8,432</b>	<b>490</b>	<b>425</b>

\$364,511 of employee related expenses were attributable to the development of new software and was capitalised and excluded from employee related expenses during the year ended 30 June 2015 (2014: \$Nil).

### b) Personnel services expenses

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Personnel services expense	-	-	<b>28,255</b>	<b>7,601</b>

These relate to expenses for personnel services provided by the NSW Electoral Commission Staff Agency.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

c) Other operating expenses include the following:

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Auditor's remuneration				
audit of the financial statements – NSWEC	63	56	63	56
audit of the financial statements – EFA	16	16	16	16
Advertising	3,402	185	3,402	185
Consultants	89	134	89	134
Contractors – Agency Staff	12,201	4,234	12,201	4,234
Contractors – Professional Services	4,660	1,393	4,660	1,393
Electricity	250	121	250	121
Facility Hire	1,337	42	1,337	42
Insurance	68	78	68	78
Internal audit	207	129	207	129
Legal fees	-	8	-	8
Low Pool Assets	10	-	10	-
Maintenance*	17	34	17	34
Operating lease rental expense				
minimum lease payments	4,367	1,215	4,367	1,215
Provision of Services	1,178	464	1,178	464
Postage	2,664	384	2,664	384
Printing	4,440	251	4,440	251
Restoration Costs	-	15	-	15
Security	906	13	906	13
Software maintenance and licences	5,136	2,623	5,136	2,623
Stationery	582	99	582	99
Storage	821	649	821	649
Telephone	180	48	180	48
Training	96	58	96	58
Travel	114	39	114	39
Other	2,733	927	2,733	927
	<b>45,537</b>	<b>13,215</b>	<b>45,537</b>	<b>13,215</b>



# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Included in other operating expenses are the following election expenses:				
General Election	19,736	2,407	19,736	2,407
By Election	516	272	516	272
<b>Total election expenses included in Note 2(c)</b>	<b>20,252</b>	<b>2,679</b>	<b>20,252</b>	<b>2,679</b>

\*Reconciliation – Total Maintenance

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Maintenance expense – contracted labour and others (non-employee related), as above	17	34	17	34
<b>Total maintenance expense included in Note 2(c)</b>	<b>17</b>	<b>34</b>	<b>17</b>	<b>34</b>

d) Depreciation and amortisation expense

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Depreciation				
Computer Hardware	745	353	745	353
Furniture, Fittings and Leasehold Improvement	103	116	103	116
Plant and Equipment	64	74	64	74
Amortisation – Software	5,142	4,182	5,142	4,182
	<b>6,054</b>	<b>4,725</b>	<b>6,054</b>	<b>4,725</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## e) Other expense

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
By Election	-	127	-	127
Election Funding Authority – Refer Note 5	-	2,631	-	2,631
General Election	-	507	-	507
Joint Roll Agreement (Payment to the Commonwealth) <sup>1</sup>	4,761	4,538	4,761	4,538
Funding of Candidates, Groups and Political Parties <sup>2</sup>	15,119	-	15,119	-
	<b>19,880</b>	<b>7,803</b>	<b>19,880</b>	<b>7,803</b>

### 1. Joint Roll Agreement

An Arrangement between the Governor General of the Commonwealth and the Governor of New South Wales to provide for a joint electoral enrolment procedure was signed on 21 October 2010. The 'Exchange of Information Agreement' between the Australian Electoral Commission and the NSWEC pursuant to this arrangement was executed on the same day. This agreement sets a cost per elector rate and allows for escalation at the Sydney Consumer Price Index. The charge is payable from the NSWEC to the Australian Electoral Commission. At 30 June 2015 the amount payable per elector is \$0.96 (2014: \$0.93).

### 2. Funding of Candidates, Groups and Political Parties

On 1 December 2014, The EFA was abolished and its functions transferred to the NSWEC (Refer to Note 1(a)). The NSWEC is now responsible for the public funding of parliament election campaigns and the disclosure of certain political donations and electoral expenditure for parliamentary or local government campaigns. The following funds are maintained for this purpose:

#### Election Campaigns Fund

Candidates and registered parties endorsing candidates for Legislative Assembly or Legislative Council elections may be eligible for payments from the Election Campaigns Fund.

The amount to be distributed from the Election Campaigns Fund is a reimbursement to a party or a candidate eligible for payment in respect of a State election of the amount of the actual electoral communication expenditure incurred, on a sliding scale and subject to the applicable cap.

#### Administration Fund

Parties with elected members are eligible for annual payments, on a calendar year basis, from the Administration Fund for administrative or operating expenses of the party during the year. Independent members of Parliament are also eligible for annual payments from the Fund.

An expense is not recognised until:

- An entitlement exists under legislation;
- The candidate, party or group has supplied sufficient documentation supporting the claim. This documentation includes invoices or receipts relating to electoral expenditure incurred to substantiate the level of claim; and
- NSWEC has validated the invoices to determine if they meet the legislative requirement for payment.

Due to changes to the *Election Funding, Expenditure and Disclosures Act*, eligible parties and elected members can now request quarterly advance payments from the Administration Fund. The Act requires advance payments to be made at the beginning of each relevant quarter and is equal to 50% of the party's quarterly entitlement. Any payment made in accordance with this provision is recognised as an expense in the period where such payment is made.

#### Policy Development Fund

Parties that are not eligible for payment from the Administration Fund may be eligible for annual payments, on a calendar year basis, from the Policy Development Fund of the amount of actual policy development expenditure incurred by or on behalf of the party during the year.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

The following expenditure has been incurred during the year:

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>ADMINISTRATION FUND</b>				
Australian Labor Party (NSW Branch)	2,222	-	2,222	-
National Party of Australia – NSW	2,158	-	2,158	-
Shooters and Fishers Party	372	-	372	-
The Greens	1,293	-	1,293	-
Country Labor Party	514	-	514	-
Liberal Party of Australia New South Wales Division	2,505	-	2,505	-
Christian Democratic Party	372	-	372	-
Animal Justice Party	96	-	96	-
Independent candidates	178	-	178	-
	<b>9,710</b>	<b>-</b>	<b>9,710</b>	<b>-</b>
<b>ELECTION CAMPAIGNS FUND</b>				
The Greens	58	-	58	-
Australian Labor Party (NSW Branch)	4,157	-	4,157	-
Country Labor Party	872	-	872	-
Shooters and Fishers Party	196	-	196	-
Christian Democratic Party	12	-	12	-
Independent candidates	114	-	114	-
	<b>5,409</b>	<b>-</b>	<b>5,409</b>	<b>-</b>
<b>Total</b>	<b>15,119</b>	<b>-</b>	<b>15,119</b>	<b>-</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 3. Revenue

### a) Appropriations

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>RECURRENT APPROPRIATIONS</b>				
Total recurrent draw-downs from NSW Treasury (per Summary of Compliance)	102,832	34,121	102,832	34,121
Less: Liability to Consolidated Fund (per Summary of Compliance)	(594)	(33)	(594)	(33)
	<b>102,238</b>	<b>34,088</b>	<b>102,238</b>	<b>34,088</b>
Comprising:				
<b>Recurrent appropriations (per Statement of comprehensive income)</b>	92,629	26,248	92,629	26,248
Transfer payments	9,609	7,840	9,609	7,840
	<b>102,238</b>	<b>34,088</b>	<b>102,238</b>	<b>34,088</b>
<b>CAPITAL APPROPRIATIONS</b>				
Total capital draw-downs from NSW Treasury (per Summary of compliance)	3,649	5,573	3,649	5,573
Less: Liability to Consolidated Fund (per Summary of compliance)	-	-	-	-
	<b>3,649</b>	<b>5,573</b>	<b>3,649</b>	<b>5,573</b>
Comprising:				
<b>Capital appropriations (per Statement of comprehensive income)</b>	<b>3,649</b>	<b>5,573</b>	<b>3,649</b>	<b>5,573</b>

### b) Sale of goods and services

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Rendering of services	968	531	968	531
Election administration costs recovered	263	186	263	186
	<b>1,231</b>	<b>717</b>	<b>1,231</b>	<b>717</b>

### c) Investment revenue

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>Interest</b>	<b>147</b>	<b>176</b>	<b>147</b>	<b>176</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## d) Acceptance by the Crown Entity of Employee Benefits and Other Liabilities

The following liabilities and/or expenses have been assumed by the Crown Entity:

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Superannuation-defined benefit	88	119	-	-
Long service leave	249	280	-	-
Payroll tax	5	7	-	-
	<b>342</b>	<b>406</b>	<b>-</b>	<b>-</b>

## e) Grants and contributions

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Redundancy grants received	-	91	-	91
Department of Premier and Cabinet	1,370	-	1,370	-
	<b>1,370</b>	<b>91</b>	<b>1,370</b>	<b>91</b>

## 4. Loss on Disposal

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Plant and Equipment (Gross carrying amount)	146	270	146	270
Less: Accumulated Depreciation	(138)	(262)	(138)	(262)
Written Down Value	8	8	8	8
Less: Proceeds	-	(5)	-	(5)
<b>Net Loss on Disposal of Plant and Equipment</b>	<b>8</b>	<b>3</b>	<b>8</b>	<b>3</b>

## 5. Transfer payments

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Election Funding Authority*	<b>9,609</b>	<b>7,840</b>	<b>9,609</b>	<b>7,840</b>

### \*Election Funding Authority Transfer Payments

The Annual Appropriation Act provides funding to the NSWEC which includes an amount for the public funding of an Election Campaigns fund, Administration Fund and a Policy Development Fund. The *Election Funding and Disclosures Act 1981* had required EFA make payment to parties and candidates through a regulated claims procedure. The EFA had requested the NSW Electoral Commission to make the payments on its behalf.

The EFA was abolished, effective 1 December 2014 with its functions transferred to the reconstituted NSWEC (Refer notes 1(a) and 2(e)).

The value of the transfer payments for the five months ended 30 November 2014 was \$9.609 million (2014: \$7.840 million) and the contribution from the NSWEC was \$Nil million (2014: \$2.631 million).

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 6. Service Group Statement

The NSWEC has one service group only. This service group covers the delivery of elections and related services. Details of the expenses, revenues, assets and liabilities for this service group are available in the Statement of Comprehensive Income and Statement of Financial Position. Service group statements therefore have not been prepared. Administered expenses and income are shown in notes 23 and 24 respectively.

On 1 December 2014, The EFA was abolished with its functions conferred to NSWEC. The following summarises the expenses and income recognised by EFA up to date of transfer and by NSWEC from the date of transfer. There were no assets or liabilities transferred.

	EFA 1 JULY TO 30 NOVEMBER \$'000	NSWEC 1 DECEMBER TO 30 JUNE \$'000	2015 \$'000	2014 \$'000
<b>EXPENSES EXCLUDING LOSSES</b>				
Operating expenses	9,609	15,119	24,728	10,471
Other expenses	1,298	-	1,298	3,638
<b>Total expenses excluding losses</b>	<b>10,907</b>	<b>15,119</b>	<b>26,026</b>	<b>14,109</b>
<b>REVENUE</b>				
Grants and contributions	9,609	-	9,609	10,471
Other Revenue	1,298	-	1,298	3,638
Recurrent appropriation (net of transfer payments)	-	16,220	16,220	-
<b>Total Revenue</b>	<b>10,907</b>	<b>16,220</b>	<b>27,127</b>	<b>14,109</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 7. Reclassification of Comparatives

The 2014 comparatives have been restated with By Election and General election costs reclassified from Other expenses to Other operating expenses (refer note 1(m)). The reclassification of these expenses has had the following impact on the 2014 comparatives:

### Statement of Comprehensive Income

	CONSOLIDATED			PARENT		
	2014 \$'000	INCREASE/ (DECREASE) \$'000	2014 RESTATED \$'000	2014 \$'000	INCREASE/ (DECREASE) \$'000	2014 RESTATED \$'000
Operating expenses						
Employee related	8,432	-	8,432	425	-	425
Personnel services	-	-	-	7,601	-	7,601
Other operating expenses	10,536	2,679	13,215	10,536	2,679	13,215
Depreciation and amortisation	4,725	-	4,725	4,725	-	4,725
Other expenses	10,482	(2,679)	7,803	10,482	(2,679)	7,803
<b>Total expenses including losses</b>	<b>34,175</b>	<b>-</b>	<b>34,175</b>	<b>33,769</b>	<b>-</b>	<b>33,769</b>

### Note 2(c) Other operating expenses

	CONSOLIDATED			PARENT		
	2014 \$'000	INCREASE/ (DECREASE) \$'000	2014 RESTATED \$'000	2014 \$'000	INCREASE/ (DECREASE) \$'000	2014 RESTATED \$'000
Advertising	135	50	185	135	50	185
Consultants	66	68	134	66	68	134
Contractors – Agency Staff	3,372	862	4,234	3,372	862	4,234
Contractors – Professional Services	1,116	277	1,393	1,116	277	1,393
Electricity	65	56	121	65	56	121
Facility Hire	37	5	42	37	5	42
Maintenance	28	6	34	28	6	34
Operating lease rental expense	1,202	13	1,215	1,202	13	1,215
Provision of Services	436	28	464	436	28	464
Postage	371	13	384	371	13	384
Printing	212	39	251	212	39	251
Security	8	5	13	8	5	13
Software maintenance and licences	2,107	516	2,623	2,107	516	2,623
Stationery	94	5	99	94	5	99
Storage	21	628	649	21	628	649
Training	57	1	58	57	1	58
Other	820	107	927	820	107	927
		<b>2,679</b>			<b>2,679</b>	

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 7. Reclassification of Comparatives (continued)

Note 2(e) other expenses

	CONSOLIDATED			PARENT		
	2014 \$'000	INCREASE/ (DECREASE) \$'000	2014 RESTATED \$'000	2014 \$'000	INCREASE/ (DECREASE) \$'000	2014 RESTATED \$'000
By Election	399	(272)	127	399	(272)	127
General Election	2,914	(2407)	507	2,914	(2,407)	507
		<b>(2,679)</b>			<b>(2,679)</b>	

## 8. Current Assets – Cash and Cash Equivalents

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Cash at bank and on hand	6,685	4,937	6,685	4,937
	<b>6,685</b>	<b>4,937</b>	<b>6,685</b>	<b>4,937</b>

For the purposes of the Statement of Cash Flows, cash and cash equivalents include cash on hand and cash at bank.

Cash and cash equivalents assets recognised in the Statement of Financial Position are reconciled at the end of the financial year to the Statement of Cash Flows as follows:

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Cash and cash equivalents (per Statement of Financial Position)	6,685	4,937	6,685	4,937
<b>Closing cash and cash equivalents (per Statement of Cash Flows)</b>	<b>6,685</b>	<b>4,937</b>	<b>6,685</b>	<b>4,937</b>

Refer Note 25 for details regarding credit risk, liquidity risk and market risk arising from financial instruments.

## 9. Current Assets – Receivables

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Sale of goods and services	-	235	-	235
Accrued income	-	28	-	28
GST recoverable from the taxation authority	636	501	636	501
Prepayments	366	430	366	430
Deposits Recoverable	70	-	70	-
Payments for Long Service Leave recoverable from New South Wales Treasury	5	-	5	-
Interest Receivables	76	87	76	87
	<b>1,153</b>	<b>1,281</b>	<b>1,153</b>	<b>1,281</b>

For the year ended 30 June 2015, there were no transactions written off as bad debts.

Details regarding credit risk, liquidity risk and market risk, including financial assets that are either past due or impaired, are disclosed in Note 25.



# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 10. Current Assets – Inventories

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>HELD FOR RESALE</b>				
Requisite Election Materials – at cost	134	121	134	121
	<b>134</b>	<b>121</b>	<b>134</b>	<b>121</b>

## 11. Non-Current Assets – Plant and Equipment Consolidated and Parent

	COMPUTER HARDWARE \$'000	FURNITURE, FITTINGS & LEASEHOLD IMPROVEMENT \$'000	PLANT AND EQUIPMENT \$'000	TOTAL \$'000
<b>AT 1 JULY 2014 – FAIR VALUE</b>				
Gross carrying amount	3,810	3,124	628	7,562
Accumulated depreciation	(2,316)	(2,697)	(406)	(5,419)
<b>Net Carrying amount</b>	<b>1,494</b>	<b>427</b>	<b>222</b>	<b>2,143</b>
	\$'000	\$'000	\$'000	\$'000
<b>AT 30 JUNE 2015 – FAIR VALUE</b>				
Gross carrying amount	4,735	3,196	626	8,557
Accumulated depreciation	(2,952)	(2,802)	(440)	(6,194)
<b>Net Carrying amount</b>	<b>1,783</b>	<b>394</b>	<b>186</b>	<b>2,363</b>

### Reconciliation

A reconciliation of the carrying amounts of plant and equipment at the beginning and end of the current reporting period is set out below:

	COMPUTER HARDWARE \$'000	FURNITURE, FITTINGS & LEASEHOLD IMPROVEMENT \$'000	PLANT AND EQUIPMENT \$'000	TOTAL \$'000
<b>YEAR ENDED 30 JUNE 2015</b>				
Net carrying amount at start of the year	1,494	427	222	2,143
Additions	1,038	70	32	1,140
Disposals	(4)	-	(4)	(8)
Depreciation expense	(745)	(103)	(64)	(912)
<b>Net carrying amount at end of the year</b>	<b>1,783</b>	<b>394</b>	<b>186</b>	<b>2,363</b>

Further details regarding the fair value measurement of property, plant and equipment are disclosed in Note 13.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

	COMPUTER HARDWARE \$'000	FURNITURE, FITTINGS & LEASEHOLD IMPROVEMENT \$'000	PLANT AND EQUIPMENT \$'000	TOTAL \$'000
<b>AT 1 JULY 2013 – FAIR VALUE</b>				
Gross carrying amount	2,589	3,045	708	6,342
Accumulated depreciation	(2,109)	(2,615)	(409)	(5,133)
<b>Net Carrying amount</b>	<b>480</b>	<b>430</b>	<b>299</b>	<b>1,209</b>
	\$'000	\$'000	\$'000	\$'000
<b>AT 30 JUNE 2014 – FAIR VALUE</b>				
Gross carrying amount	3,810	3,124	628	7,562
Accumulated depreciation	(2,316)	(2,697)	(406)	(5,419)
<b>Net Carrying amount</b>	<b>1,494</b>	<b>427</b>	<b>222</b>	<b>2,143</b>

## Reconciliation

A reconciliation of the carrying amounts of plant and equipment at the beginning and end of the prior reporting period is set out below:

	COMPUTER HARDWARE \$'000	FURNITURE, FITTINGS & LEASEHOLD IMPROVEMENT \$'000	PLANT AND EQUIPMENT \$'000	TOTAL \$'000
<b>YEAR ENDED 30 JUNE 2014 – FAIR VALUE</b>				
Net carrying amount at start of the year	480	430	299	1,209
Additions	1,372	114	-	1,486
Disposals	(5)	-	(3)	(8)
Depreciation expense	(353)	(117)	(74)	(544)
<b>Net carrying amount at end of the year</b>	<b>1,494</b>	<b>427</b>	<b>222</b>	<b>2,143</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 12. Intangible Assets – Consolidated and Parent

	SOFTWARE \$'000	TOTAL \$'000
<b>AT 1 JULY 2014</b>		
Gross carrying amount	36,874	36,874
Accumulated amortisation	(23,110)	(23,110)
<b>Net Carrying amount</b>	<b>13,764</b>	<b>13,764</b>
<b>AT 30 JUNE 2015</b>		
Gross carrying amount	36,370	36,370
Accumulated amortisation	(24,384)	(24,384)
<b>Net Carrying amount</b>	<b>11,986</b>	<b>11,986</b>

### Reconciliation

A reconciliation of the carrying amounts of intangible assets at the beginning and end of the current reporting period is set out below:

	SOFTWARE \$'000	TOTAL \$'000
<b>YEAR ENDED 30 JUNE 2015</b>		
Net carrying amount at start of the year	13,764	13,764
Additions	3,364	3,364
Amortisation expense	(5,142)	(5,142)
<b>Net carrying amount at end of the year</b>	<b>11,986</b>	<b>11,986</b>

	SOFTWARE \$'000	TOTAL \$'000
<b>AT 1 JULY 2013</b>		
Gross carrying amount	32,720	32,720
Accumulated amortisation	(18,933)	(18,933)
<b>Net Carrying amount</b>	<b>13,787</b>	<b>13,787</b>
	\$'000	\$'000
<b>AT 30 JUNE 2014</b>		
Gross carrying amount	36,874	36,874
Accumulated amortisation	(23,110)	(23,110)
<b>Net Carrying amount</b>	<b>13,764</b>	<b>13,764</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## Reconciliation

A reconciliation of the carrying amounts of intangible assets at the beginning and end of the prior reporting period is set out below:

	SOFTWARE \$'000	TOTAL \$'000
<b>YEAR ENDED 30 JUNE 2014</b>		
Net carrying amount at start of the year	13,787	13,787
Additions	4,159	4,159
Amortisation expense	(4,182)	(4,182)
<b>Net carrying amount at end of the year</b>	<b>13,764</b>	<b>13,764</b>

## 13. Fair value measurement of non-financial assets

### a) Fair value hierarchy

	2015			TOTAL FAIR VALUE \$'000
	LEVEL 1 \$'000	LEVEL 2 \$'000	LEVEL 3 \$'000	
<b>PLANT AND EQUIPMENT (NOTE 11)</b>				
Computer Hardware	-	-	-	-
Furniture, fittings & leasehold improvement	-	-	-	-
Plant and equipment	-	-	-	-
	-	-	-	-

There were no transfers between Level 1 or 2 during the period.

The NSWEC does not have any assets that are subject to fair value measurement. Its plant and equipment assets are measured using depreciated historical cost as a surrogate for fair value

## 14. Restricted Assets

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>Liability to Consolidated Fund</b>	<b>594</b>	<b>33</b>	<b>594</b>	<b>33</b>

## 15. Current Liabilities – Payables

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Accrued salaries, wages and on-costs	327	264	-	-
Accrued personnel services	-	-	327	264
Creditors	2,314	2,141	2,314	2,141
Unearned revenue	218	-	218	-
	<b>2,859</b>	<b>2,405</b>	<b>2,859</b>	<b>2,405</b>

Accrued personnel services payable relate to the accrued cost of personnel services provided by the New South Wales Electoral Commission Staff Agency. Details regarding credit risk, liquidity risk and market risk, including a maturity analysis of the above payables, are disclosed in note 25.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 16. Current/Non-Current Liabilities – Provisions

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>CURRENT</b>				
<b>Personnel services and employee benefits</b>				
Annual Leave	1,246	1,022	62	46
Long Service Leave on-costs	220	238	28	24
Personnel services	-	-	1,376	1,190
	<b>1,466</b>	<b>1,260</b>	<b>1,466</b>	<b>1,260</b>
<b>Total Current Provisions</b>	<b>1,466</b>	<b>1,260</b>	<b>1,466</b>	<b>1,260</b>
	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>NON-CURRENT</b>				
Long service leave on-costs (a)	19	13	-	-
Personnel services	-	-	19	13
	<b>19</b>	<b>13</b>	<b>19</b>	<b>13</b>
<b>OTHER PROVISIONS</b>				
Lease Make Good	535	489	535	489
	<b>535</b>	<b>489</b>	<b>535</b>	<b>489</b>
<b>Total Non-Current Provisions</b>	<b>554</b>	<b>502</b>	<b>554</b>	<b>502</b>
<b>Aggregate personnel services, employee benefits and related on-costs</b>				
Provisions – current	1,466	1,260	1,466	1,260
Provisions – non-current	19	13	19	13
Accrued salaries, wages and on-costs (note 15)	327	264	-	-
Accrued personnel services (note 15)	-	-	327	264
	<b>1,812</b>	<b>1,537</b>	<b>1,812</b>	<b>1,537</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

- a) The personnel services provision and the employee benefits provision include a value of leave and on-costs expected to be taken within twelve months and after twelve months as follows:

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>SHORT TERM – LESS THAN TWELVE MONTHS</b>				
Annual leave	786	670	40	670
Long service leave on-costs	220	238	26	238
Personnel services	-	-	940	-
	<b>1,006</b>	<b>908</b>	<b>1,006</b>	<b>908</b>
<b>LONG TERM – AFTER 12 MONTHS</b>				
Annual leave	460	352	22	352
Long service leave on-costs	19	13	2	13
Personnel services	-	-	455	-
	<b>479</b>	<b>365</b>	<b>479</b>	<b>365</b>

### Movements in other provisions (Other than Personnel services or Employee benefits)

Movements in each class of provisions during the financial year, other than employee benefits, are set out below:

	2015	
	LEASE MAKE GOOD \$'000	TOTAL \$'000
Carrying amount at the beginning of financial year	489	489
Additional provisions recognised	46	46
Unwinding/change in the discount rate	-	-
<b>Carrying amount at end of financial year</b>	<b>535</b>	<b>535</b>

## 17. Current Liabilities – Other

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Liability to Consolidated Fund	594	33	594	33

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 18. Commitments for Expenditure

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>CAPITAL COMMITMENTS</b>				
Aggregate capital expenditure for the acquisition of the ICT Infrastructure and Roll Management System contracted for at balance date and not provided for:				
Not later than one year	1,595	1,545	1,595	1,545
Later than one year and not later than five years	-	-	-	-
Later than five years	-	-	-	-
<b>Total (including GST)</b>	<b>1,595</b>	<b>1,545</b>	<b>1,595</b>	<b>1,545</b>
	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
<b>OPERATING LEASE COMMITMENTS</b>				
Future non-cancellable operating lease rentals not provided for and payable:				
Not later than one year	2,163	2,046	2,163	2,046
Later than one year and not later than five years	3,863	6,002	3,863	6,002
Later than five years	-	-	-	-
<b>Total (including GST)</b>	<b>6,026</b>	<b>8,048</b>	<b>6,026</b>	<b>8,048</b>

These capital and operating lease commitments are not recognised in the financial statements as liabilities. The amount of tax recoverable from the Australian Taxation Office included within commitments is \$693,000 (2014: \$900,000).

## 19. Contingent Liabilities and Contingent Assets

The NSWEC has no contingent liability as at 30 June 2015 (2014: Nil)

The NSWEC has no contingent assets as at 30 June 2015 (2014: Nil)

## 20. Budget Review

### Net result

The actual net result was \$4,301,000 lower than the budgeted amount of \$3,103,000. This is mainly due to a reduction in capital appropriations of \$3,816,000 for projects approved to be rolled over to the new financial year. Total expenses were \$8,330,000 higher than budget. This was largely due to a \$6,881,000 increase in costs to run the state general election and \$1,370,000 in costs to reconstitute the NSWEC. This increase was offset by corresponding increase in revenue from government funding and grants received.

### Assets and Liabilities

Assets were under budget by \$2,946,000. This is mainly due to the approved roll over of \$3,816,000 in non-current assets and a decrease in accounts receivables.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## Cash Flows

Cash flow from operating activities is lower than budget by \$2,073,000. This is mainly due to general election costs being \$881,000 higher than budget and \$855,000 in capital costs funded from cash reserves.

## 21. Reconciliation of Cash Flows from Operating Activities to Net Result

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Net cash from operating activities	6,252	4,702	6,252	4,702
Depreciation and amortisation	(6,054)	(4,725)	(6,054)	(4,725)
Decrease/(increase) in provisions	(819)	(2)	(819)	(2)
Increase/(decrease) in receivables and other assets	(115)	(561)	(115)	(561)
Decrease/(increase) in payables	(454)	(378)	(454)	(378)
Net gain/(loss) on disposal of plant and equipment & intangible assets	(8)	(3)	(8)	(3)
<b>Net result</b>	<b>(1,198)</b>	<b>(967)</b>	<b>(1,198)</b>	<b>(967)</b>

## 22. Administered Assets and Liabilities

	2015 \$'000	2014 \$'000
<b>Administered Assets:</b>		
Receivables – Fines for failure to vote	18,547	118
<b>Administered Liabilities:</b>		
Payables – Fines for failure to vote	-	-

## 23. Administered Expense – Debts Written Off

There were no debts written off which related to Administered Income (2014: Nil).

## 24. Administered Income

	CONSOLIDATED		PARENT	
	2015 \$'000	2014 \$'000	2015 \$'000	2014 \$'000
Fines for failure to vote	19,585	573	19,585	573



# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 25. Financial Instruments (Parent and Consolidated)

The NSWEC's principal financial instruments are outlined below. These financial instruments arise directly from the NSWEC's operations or are required to finance the NSWEC's operations. The NSWEC does not enter into or trade financial instruments, including derivative financial instruments, for speculative purposes.

The NSWEC's main risks arising from financial instruments are outlined below, together with the NSWEC's objectives, policies and processes for measuring and managing risk. Further quantitative and qualitative disclosures are included throughout these financial statements.

The Electoral Commissioner has overall responsibility for the establishment and oversight of risk management and reviews and agrees policies for managing each of these risks. Risk management policies are established to identify and analyse the risks faced by the NSWEC, to set risk limits and controls and to monitor risks. From time to time, compliance with policies is reviewed by the Audit and Risk Committee.

### a) Financial instrument categories

	NOTE	CATEGORY	CARRYING AMOUNT 2015 \$'000	CARRYING AMOUNT 2014 \$'000
<b>FINANCIAL ASSETS</b>				
<b>Class:</b>				
Cash and cash equivalents	8	N/A	6,685	4,937
Receivables*	9	Loans and receivables (at amortised cost)	151	350
<b>FINANCIAL LIABILITIES</b>				
<b>Class:</b>				
Payables**	15	Financial liabilities measured at amortised cost	2,594	2,085

#### Notes

\* Excludes statutory receivables and prepayments (i.e. not within scope of AASB 7).

\*\* Excludes statutory payables and unearned income (i.e. not within scope of AASB 7).

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## b) Credit Risk

Credit risk arises when there is the possibility of the NSWEC's debtors defaulting on their contractual obligations, resulting in a financial loss to the NSWEC. The maximum exposure to credit risk is generally represented by the carrying amount of the financial assets (net of any allowance for impairment).

Credit risk arises from the financial assets of the NSWEC, including cash and receivables. No collateral is held by the NSWEC. The NSWEC has not granted any financial guarantees.

Credit risk associated with the NSWEC's financial assets, other than receivables, is managed through the selection of counterparties and establishment of minimum credit rating standards.

### Cash

Cash comprises cash on hand and bank balances within the NSW Treasury Banking System. Interest is earned on daily bank balances at the monthly average NSW Treasury Corporation (TCorp) 11am unofficial cash rate, adjusted for a management fee to NSW Treasury.

### Receivables – trade debtors

All trade debtors are recognised as amounts receivable at balance date. Collectability of trade debtors is reviewed on an ongoing basis. Procedures as established in the Treasurer's Directions are followed to recover outstanding amounts, including letters of demand. Debts which are known to be uncollectible are written off. An allowance for impairment is raised when there is objective evidence that the entity will not be able to collect all amounts due. This evidence includes past experience, and current and expected changes in economic conditions and debtor credit ratings. No interest is earned on trade debtors. Sales are made on 30 day terms.

The NSWEC is not materially exposed to concentrations of credit risk to a single trade debtor or group of debtors. Based on past experience, debtors that are not past due 2015: \$Nil (2014: \$228,652) represent 100% of the total trade debtors.

The only financial assets that are past due or impaired are "sales of goods and services" in the "receivables" category of the statement of financial position.

	TOTAL*	PAST DUE BUT NOT IMPAIRED*	CONSIDERED IMPAIRED*
	\$'000	\$'000	\$'000
<b>2015</b>			
< 3 months overdue	-	-	-
3 months – 6 months overdue	-	-	-
> 6 months overdue	-	-	-
<b>2014</b>			
< 3 months overdue	6	6	-
3 months – 6 months overdue	-	-	-
> 6 months overdue	-	-	-

### Notes \*

- Each column in the table reports "gross receivables".
- The ageing analysis excludes statutory receivables, as these are not within the scope of AASB 7 and excludes receivables that are not past due and not impaired. Therefore, the "total" will not reconcile to the receivables total recognised in the statement of financial position.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## c) Liquidity risk

Liquidity risk is the risk that the NSWEC will be unable to meet its payment obligations when they fall due. The NSWEC continuously manages risk through monitoring future cash flows and maturities planning to ensure adequate holding of high quality liquid assets.

During the current and prior year, there were no defaults of loans payable. No assets have been pledged as collateral. The NSWEC's exposure to liquidity risk is deemed insignificant based on prior periods' data and current assessment of risk.

The liabilities are recognised for amounts due to be paid in the future for goods or services received, whether or not invoiced. Amounts owing to suppliers (which are unsecured) are settled in accordance with the policy set out in NSW TC 11/12.

For small business suppliers, where terms are not specified, payment is made not later than 30 days from date of receipt of a correctly rendered invoice. For other suppliers, if trade terms are not specified, payment is made no later than the end of the month following the month in which an invoice or a statement is received. For small business suppliers, where payment is not made within the specified time period, simple interest must be paid automatically unless an existing contract specifies otherwise. For payments to other suppliers, the Head of an authority (or a person appointed by the Head of an authority) may automatically pay the supplier simple interest.

The table below summarises the maturity profile of NSWEC's financial liabilities, together with the interest rate exposure.

	WEIGHTED AVERAGE EFFECTIVE INTEREST RATE	NOMINAL AMOUNT	INTEREST RATE EXPOSURE			MATURITY DATES		
			FIXED INTEREST RATE	VARIABLE INTEREST RATE	NON- INTEREST BEARING	< 1 YR.	1-5 YRS.	> 5 YRS.
			%	\$'000	\$'000	\$'000	\$'000	\$'000
<b>2015</b>								
Payables	-	2,594	-	-	2,594	2,594	-	-
<b>2014</b>								
Payables	-	2,085	-	-	2,085	2,085	-	-

## d) Market risk

Market risk is the risk that the fair value or future cash flows of a financial instrument will fluctuate because of changes in market prices. NSWEC has no exposure to borrowings or foreign currency risk and does not enter into commodity contracts.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## e) Interest rate risk

NSWEC does not have exposure to interest rate risk through interest bearing liabilities. NSWEC does not account for any fixed rate financial instruments at fair value through profit or loss or as available-for-sale. Therefore, for these financial instruments, a change in interest rates would not affect profit or loss or equity. A reasonably possible change of +/- 1% is used, consistent with current trends in interest rates. The basis will be reviewed annually and amended where there is a structural change in the level of interest rate volatility. The NSWEC's exposure to interest rate risk is set out below:

	CARRYING AMOUNT	PROFIT	-1% EQUITY	PROFIT	1% EQUITY
	\$'000	\$'000	\$'000	\$'000	\$'000
<b>2015</b>					
<b>Financial assets</b>					
Cash and cash equivalents	6,685	(67)	(67)	67	67
Receivables	151	-	-	-	-
<b>Financial Liabilities</b>					
Payables	2,594	-	-	-	-
<b>2014</b>					
<b>Financial assets</b>					
Cash and cash equivalents	4,937	(49)	(49)	49	49
Receivables	350	-	-	-	-
<b>Financial Liabilities</b>					
Payables	2,085	-	-	-	-

## f) Fair value measurement

### i) Fair value compared to carrying amount

Financial instruments are generally recognised at cost. The amortised cost of financial instruments recognised in the statement of financial position approximates the fair value, because of the short-term nature of many of the financial instruments.

### ii) Fair value recognised in the statement of financial position

The NSWEC does not have any financial assets at fair value recognised in the statement of financial position

## 26. Events after reporting period

There are no events subsequent to balance date which affect the financial statements.

## 27. Related party transaction

All transactions for the EFA were conducted through the NSWEC's accounting framework. Within this framework, employee related expenses of \$2.8 million (\$3.047 million in 2014) and other operating expenses of \$0.7 million (\$0.591 million in 2014) were recognised as attributable to EFA's operations. NSWEC is funded via its consolidated fund appropriation for this expenditure.

**END OF AUDITED FINANCIAL STATEMENTS.**

# Statement by the Electoral Commissioner

## **Statement by the Electoral Commissioner**

Pursuant to Section 41C(1B) of the *Public Finance and Audit Act 1983*, I, to the best of my knowledge and belief state that:

- (a) The accompanying financial statements of the New South Wales Electoral Commission Staff Agency have been prepared in accordance with Australian Accounting Standards (which include Australian Accounting Interpretations), the requirements of the *Public Finance and Audit Act 1983*, the *Public Finance and Audit Regulation 2015* and the Treasurer's Directions;
- (b) The statements exhibit a true and fair view of the financial position as at 30 June 2015 of the New South Wales Electoral Commission Staff Agency and financial performance for the year then ended; and
- (c) There are no circumstances which would render any particulars included in the financial statements to be misleading or inaccurate.



Colin Barry  
Electoral Commissioner  
2 September 2015

# Independent Auditor's Report



## INDEPENDENT AUDITOR'S REPORT

### New South Wales Electoral Commission Staff Agency

To Members of the New South Wales Parliament

I have audited the accompanying financial statements of the New South Wales Electoral Commission Staff Agency (the Staff Agency), which comprise the statement of financial position as at 30 June 2015, the statement of comprehensive income, statement of changes in equity and statement of cash flows for the year then ended, notes comprising a summary of significant accounting policies and other explanatory information.

### Opinion

In my opinion, the financial statements:

- give a true and fair view of the financial position of the Staff Agency as at 30 June 2015, and of its financial performance and its cash flows for the year then ended in accordance with Australian Accounting Standards
- are in accordance with section 41B of the *Public Finance and Audit Act 1983* (PF&A Act) and the Public Finance and Audit Regulation 2015.

My opinion should be read in conjunction with the rest of this report.

### The Electoral Commissioner's Responsibility for the Financial Statements

The Electoral Commissioner is responsible for preparing financial statements that give a true and fair view in accordance with Australian Accounting Standards and the PF&A Act, and for such internal control as the Electoral Commissioner determines is necessary to enable the preparation of financial statements that give a true and fair view and are free from material misstatement, whether due to fraud or error.

### Auditor's Responsibility

My responsibility is to express an opinion on the financial statements based on my audit. I conducted my audit in accordance with Australian Auditing Standards. Those Standards require that I comply with relevant ethical requirements relating to audit engagements and plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgement, including an assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation of the financial statements that give a true and fair view in order to design audit procedures appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

# Independent Auditor's Report

I believe the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

My opinion does *not* provide assurance:

- about the future viability of the Staff Agency
- that it carried out its activities effectively, efficiently and economically
- about the effectiveness of the internal control
- about the security and controls over the electronic publication of the audited financial statements on any website where they may be presented
- about other information which may have been hyperlinked to/from the financial statements.

## Independence

In conducting my audit, I have complied with the independence requirements of the Australian Auditing Standards and other relevant ethical pronouncements. The PF&A Act further promotes independence by:

- providing that only Parliament, and not the executive government, can remove an Auditor-General
- mandating the Auditor-General as auditor of public sector agencies, but precluding the provision of non-audit services, thus ensuring the Auditor-General and the Audit Office of New South Wales are not compromised in their roles by the possibility of losing clients or income.



A T Whitfield PSM  
Acting Auditor-General

7 September 2015  
SYDNEY

## START OF AUDITED FINANCIAL STATEMENTS

## Statement of comprehensive income

FOR THE YEAR ENDED 30 JUNE 2015

	NOTES	ACTUAL 2015 \$'000	ACTUAL 2014 \$'000
<b>EXPENSES EXCLUDING LOSSES</b>			
Salaries and wages (including recreation leave)		24,902	6,542
Long service leave		210	286
Superannuation – defined benefit Plan		88	119
Superannuation – defined contribution Plan		1,614	525
Workers' compensation insurance		46	26
Payroll tax and fringe benefits tax		1,737	418
Redundancy		-	91
<b>Total Expenses excluding losses</b>		<b>28,597</b>	<b>8,007</b>
<b>REVENUE</b>			
Acceptance by the Crown Entity of employee benefits and other liabilities	2(a)	342	406
Personnel services revenue	2 (b)	28,255	7,601
<b>Total Revenue</b>		<b>28,597</b>	<b>8,007</b>
<b>Net Result</b>		-	-
<b>Other comprehensive income</b>		-	-
<b>Total other comprehensive income</b>		-	-
<b>TOTAL COMPREHENSIVE INCOME</b>		-	-

The accompanying notes form part of these financial statements.



# Statement of changes in equity

FOR THE YEAR ENDED 30 JUNE 2015

	NOTES	ACTUAL \$'000
<b>Balance at 1 July 2014</b>		-
Net Result for the Year		-
<b>Total other comprehensive income</b>		-
<b>Total comprehensive income for the year</b>		-
<b>Balance at 30 June 2015</b>		-
<b>Balance at 1 July 2013</b>		-
Net Result for the Year		-
<b>Total other comprehensive income</b>		-
<b>Total comprehensive income for the year</b>		-
<b>Balance at 30 June 2014</b>		-

The accompanying notes form part of these financial statements.

# Statement of financial position

AS AT 30 JUNE 2015

	NOTES	ACTUAL 2015 \$'000	ACTUAL 2014 \$'000
<b>ASSETS</b>			
<b>Current Assets</b>			
Receivables	3	1,704	1,436
<b>Total Current Assets</b>		<b>1,704</b>	<b>1,436</b>
<b>NON-CURRENT ASSETS</b>			
Receivables	4	19	11
<b>Total Non-Current Assets</b>		<b>19</b>	<b>11</b>
<b>Total Assets</b>		<b>1,723</b>	<b>1,447</b>
<b>LIABILITIES</b>			
<b>Current Liabilities</b>			
Payables	5	327	244
Provisions	6	1,377	1,192
<b>Total Current Liabilities</b>		<b>1,704</b>	<b>1,436</b>
<b>Non-Current Liabilities</b>			
Provisions	6	19	11
<b>Total Non-Current Liabilities</b>		<b>19</b>	<b>11</b>
<b>Total Liabilities</b>		<b>1,723</b>	<b>1,447</b>
<b>Net Assets</b>		<b>-</b>	<b>-</b>
<b>EQUITY</b>			
Accumulated funds		-	-
<b>Total Equity</b>		<b>-</b>	<b>-</b>

The accompanying notes form part of these financial statements.

# Statement of cash flows

FOR THE YEAR ENDED 30 JUNE 2015

	NOTES	ACTUAL 2015 \$'000	ACTUAL 2014 \$'000
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>			
Payments			
Employee related		-	-
Other		-	-
<b>Total Payments</b>		-	-
<b>Receipts</b>			
Personnel services		-	-
Reimbursements from the Crown Entity		-	-
<b>Total Receipts</b>		-	-
<b>NET CASH FLOWS FROM OPERATING ACTIVITIES</b>		-	-
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		-	-
<b>NET CASH FLOWS FROM INVESTING ACTIVITIES</b>		-	-
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>		-	-
<b>NET CASH FLOWS FROM FINANCING ACTIVITIES</b>		-	-
<b>NET INCREASE/(DECREASE) IN CASH</b>		-	-
Opening cash and cash equivalents		-	-
<b>CLOSING CASH AND CASH EQUIVALENTS</b>		-	-

The New South Wales Electoral Commission Staff Agency does not hold any cash or cash equivalent assets and therefore there are nil cash flows.

The accompanying notes form part of these financial statements.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 1. Summary of Significant Accounting Policies

### a) Reporting entity

The New South Wales Electoral Commission Staff Agency (the Agency) is established as a division of the government service under the *Government Sector Employment Act 2013*.

The Agency is a not for profit entity as profit is not its principle objective. It is domiciled in Australia and its principal office is at 201 Kent St, Sydney.

The Agency's objective is to provide personnel services to the New South Wales Electoral Commission.

The Agency commenced operation on 1 July 2006 when it assumed responsibility for the employees and employee-related liabilities of the New South Wales Electoral Commission. These financial statements for the year ended 30 June 2015 have been authorised for issue by the Electoral Commissioner on 2 September 2015.

### b) Basis of preparation

The Agency's financial statements are general purpose financial statements which have been prepared on an accrual basis and in accordance with:

- Applicable Australian Accounting Standards (which include Australian Accounting Interpretations);
- The requirements of the *Public Finance and Audit Act 1983* and *Public Finance and Audit Regulation 2015*; and
- Specific directions issued by the Treasurer.

Generally, the historical cost basis of accounting has been adopted and the financial statements do not take into account changing money values or current valuations. However, certain provisions are measured at fair value. See note 1(g).

Judgements, key assumptions and estimations management has made are disclosed in the relevant notes to the financial statements.

All amounts are rounded to the nearest one thousand dollars and are expressed in Australian currency.

### c) Statement of compliance

The financial statements and notes comply with Australian Accounting Standards, which include Australian Accounting Interpretations.

### d) Comparative Information

Except when an Australian Accounting Standard permits or requires otherwise, comparative information is disclosed in respect of the previous period for all amounts reported in the financial statements.

### e) Revenue recognition

Revenue is measured at the fair value of the consideration received or receivable. Revenue from the rendering of personnel services is recognised when the service is provided and only to the extent that the associated recoverable expenses are recognised.

### f) Receivables

A receivable is recognised when it is probable that the future cash inflows associated with it will be realised and it has a value that can be measured reliably. It is derecognised when the contractual or other right to future cash flows from it expire or are transferred.

Receivables are non-derivative financial assets with fixed or determinable payments that are not quoted in an active market. These financial assets are recognised initially at fair value, usually based on the transaction cost or face value. Subsequent measurement is at amortised cost using the effective interest rate method, less an allowance for any impairment of receivables. Any changes are recognised in the net result for the year when impaired, derecognised or through the amortisation process.

Short-term receivables with no stated interest rate are measured at the original invoice amount where the effect of discounting is immaterial.

### g) Payables

Payables include accrued wages, salaries and related on costs (such as payroll tax, fringe benefits tax and workers' compensation insurance) where there is no certainty as the amount and timing of settlement.

A payable is recognised when a present obligation arises under the contract or otherwise. It is derecognised when the obligation expires or is discharged, cancelled or substituted. Payables are recognised initially at fair value, usually based on the transaction cost or face value. A short-term payable with no stated interest rate is measured at the original invoice amount where the effect of discounting is immaterial.

Subsequent measurement is at amortised cost using the effective interest method.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## h) Employee benefits and other provisions

Provisions are made for liabilities of uncertain amount or uncertain timing of settlement.

Employee benefit provisions represent expected amounts payable in the future in respect of unused entitlements accumulated as at the reporting date. Liabilities associated with, but that are not, employee benefits (such as payroll tax) are recognised separately.

### i) Salaries and wages, annual leave, sick leave and on-costs

Salaries and wages (including non-monetary benefits) and paid sick leave that are expected to be settled wholly within 12 months after the end of the period in which the employees render the service are recognised and measured at the undiscounted amounts of the benefits.

Annual leave is not expected to be settled wholly before twelve months after the end of the annual reporting period in which the employees render the related service. As such it is required to be measured at present value in accordance with *AASB 119 Employee Benefits* (although shortcut methods are permitted). Actuarial advice obtained by Treasury has confirmed that the use of a nominal approach plus the annual leave on annual leave liability (using 7.9% of the nominal value of annual leave) can be used to approximate the present value of the annual leave liability. The Agency has assessed the actuarial advice based on the Agency's circumstances and has determined that the effect of discounting is immaterial to annual leave.

Unused non-vesting sick leave does not give rise to a liability as it is not considered probable that sick leave taken in the future will be greater than the benefits accrued in the future.

### ii) Long service leave and superannuation

The Agency's liabilities for long service leave and defined benefit superannuation are assumed by the Crown Entity. The Agency accounts for the liability as having been extinguished, resulting in the amount assumed being shown as part of the non-monetary income item described as "Acceptance by the Crown Entity of employee benefits and other liabilities".

Long service leave is measured at present value in accordance with *AASB 119 Employee Benefits*. This is based on the application of certain factors (specified in NSWTC 15-09) to employees with five or more years of service, using current rates of pay. These factors were determined based on an actuarial review to approximate present value.

The superannuation expense for the financial year is determined by using the formulae specified in the Treasurer's Directions. The expense for certain superannuation schemes (i.e. Basic Benefit and First State Super) is calculated as a percentage of the employees' salary. For other superannuation schemes (i.e. State Superannuation Scheme and State Authorities Superannuation Scheme), the expense is calculated as a multiple of the employees' superannuation contributions.

### iii) Consequential on-costs

Consequential costs to employment are recognised as liabilities and expenses where the employee benefits to which they relate have been recognised. This includes outstanding amounts of payroll tax, workers' compensation, insurance premiums and fringe benefits tax.

## i) Changes in accounting policy, including new or revised Australian Accounting Standards

### i) Effective for the first time in 2014-15

The accounting policies applied in 2014-15 are consistent with those of the previous financial year. The Agency has adopted all of the new, revised or amending Standards and Interpretations issued by the Australian Accounting Standards Board ('AASB') that are relevant and effective for current reporting year.

The adoption of these new Standards and Interpretations did not have any impact on the financial performance or position of the Agency.

### ii) Issued but not yet effective

NSW public sector entities are not permitted to early adopt new Australian Accounting Standards, unless Treasury determines otherwise.

A number of new Accounting Standards have not been applied and are not yet effective.

The possible impact of these Standards in the period of initial application is unlikely to be material.

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 2. Revenues

### a) Acceptance by the Crown Entity of Employee Benefits and Other Liabilities

The following liabilities and/or expenses have been assumed by the Crown Entity:

	2015 \$'000	2014 \$'000
Superannuation-defined benefit	88	119
Long service leave	249	280
Payroll tax	5	7
<b>Total Revenues</b>	<b>342</b>	<b>406</b>

### b) Personnel services revenue

	2015 \$'000	2014 \$'000
New South Wales Electoral Commission	28,255	7,601
<b>Total Revenues</b>	<b>28,255</b>	<b>7,601</b>

## 3. Current Assets – Receivables

	2015 \$'000	2014 \$'000
New South Wales Electoral Commission	1,704	1,436
<b>Total Current Assets</b>	<b>1,704</b>	<b>1,436</b>

## 4. Non-Current Assets – Receivables

	2015 \$'000	2014 \$'000
New South Wales Electoral Commission	19	11
<b>Total Non-Current Assets</b>	<b>19</b>	<b>11</b>

## 5. Current liabilities – Payables

	2015 \$'000	2014 \$'000
Accrued salaries and wages	327	244
<b>Total</b>	<b>327</b>	<b>244</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 6. Current/Non-Current Liabilities – Provisions

	2015 \$'000	2014 \$'000
<b>CURRENT</b>		
<b>Employee benefits and related on – costs</b>		
Annual leave	1,185	976
Long service leave on – costs	192	216
<b>Total Current Provisions</b>	<b>1,377</b>	<b>1,192</b>
	2015 \$'000	2014 \$'000
<b>NON-CURRENT</b>		
<b>Employee benefits and related on – costs</b>		
Annual leave	-	-
Long service leave on – costs	19	11
<b>Total Non-Current Provisions</b>	<b>19</b>	<b>11</b>
	2015 \$'000	2014 \$'000
<b>AGGREGATE EMPLOYEE BENEFITS AND RELATED ON-COSTS</b>		
Provisions – current	1,377	1,192
Provisions – non-current	19	11
Accrued salaries and wages (note 5)	327	244
	<b>1,723</b>	<b>1,447</b>
a) the employee benefits provision include a value of leave and on-costs expected to be taken within twelve months and after twelve months as follows:		
<b>SHORT TERM – LESS THAN TWELVE MONTHS</b>		
Annual leave	747	642
Long service leave on-costs	192	216
	<b>939</b>	<b>858</b>
<b>Long term – after 12 months</b>		
Annual leave	438	334
Long service leave on-costs	19	11
	<b>457</b>	<b>345</b>

# Notes to the financial statements

FOR THE YEAR ENDED 30 JUNE 2015

## 7. Financial Instruments

The Agency's principal financial instruments are outlined below. These financial instruments arise directly from the Agency's operations or are required to finance the Agency's operations. The Agency does not enter into or trade financial instruments for speculative purposes. The Agency does not use financial derivatives.

### Receivables

All receivables are from the New South Wales Electoral Commission in relation to employee benefits. As such, there is no credit risk or interest risk in relation to these balances. The carrying amount approximates fair value.

### Payables

These amounts represent liabilities for personnel services provided to the NSW Electoral Commission. The Agency's exposure to liquidity risk is deemed insignificant based on prior experience and current assessment of risk. The carrying amount approximates fair value.

## 8. Contingent Liabilities and Contingent Assets

The Agency has no contingent liability as at 30 June 2015 (2014: Nil)

The Agency has no contingent assets as at 30 June 2015 (2014: Nil)

## 9. Events after reporting period

There are no events subsequent to balance date which affect the financial statements.

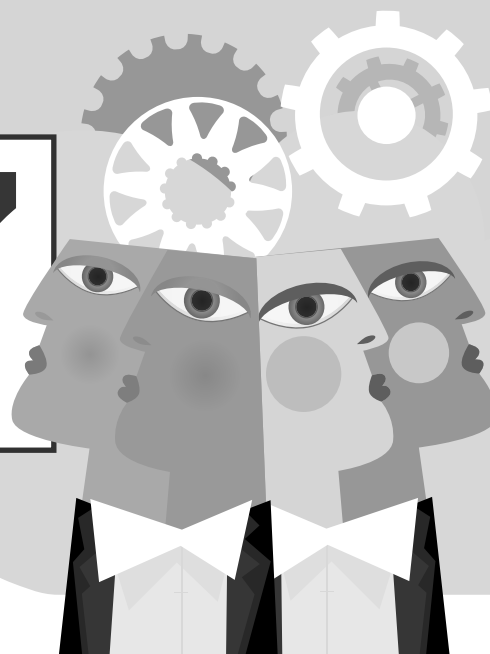
**END OF AUDITED FINANCIAL STATEMENTS**



Appendices

# References

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## ► PART 7 References

**This section contains the supporting material referred to in earlier sections of this Annual Report. It provides the appendices, the definition of terms used throughout the report, the list of figures provided and the index for the report.**

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# Appendices

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## Appendix 1

### Meetings of the NSW Electoral Commission

The Commission met six times in the period December 2014 to June 2015. All three members attended each meeting.

Meeting dates were:

- 3 December 2014
- 14 January 2015
- 18 February 2015
- 20 March 2015
- 29 April 2015
- 17 June 2015

In addition, several urgent or recurring matters were dealt with by resolutions effected by exchange of emails.

## Appendix 2

### Political Parties Registered and Nominations for Legislative Assembly and Legislative Council, NSW State General Election 2015

PARTY	LEGISLATIVE ASSEMBLY		LEGISLATIVE COUNCIL	
	CANDIDATES NOMINATED	ELECTED	CANDIDATES NOMINATED	ELECTED
Animal Justice Party	5	0	16	1
Australian Cyclists Party	6	0	15	0
Australian Democrats (NSW Division)	0	0	15	0
Australian Labor Party (NSW Branch)	67	31	16	6
Australian Motorist Party	0	0	17	0
Building Australia Party	0	0	17	0
Christian Democratic Party (Fred Nile Group)	93	0	20	1
Country Labor Party	26	3	5	1
Liberal Party of Australia New South Wales Division	74	37	11	6
National Party of Australia – NSW	19	17	5	3
No Land Tax Campaign	93	0	16	0
No Parking Meters Party	0	0	21	0
Outdoor Recreation Party	2	0	15	0
Shooters and Fishers Party	0	0	21	1
Socialist Alliance	2	0	16	0
The Fishing Party	0	0	20	0
The Greens	93	3	21	2
Unity Party	1	0	0	0
Voluntary Euthanasia Party	0	0	15	0
Independents	46	2	0	0
No Affiliation	13	0	112	0
<b>TOTALS</b>	<b>540</b>	<b>93</b>	<b>394</b>	<b>21</b>

# Appendices continued

## Appendix 3

### Legislative Assembly Elected Candidates – NSW State General Election 2015

ELECTORATE	ELECTED CANDIDATE	PARTY
Albury	APLIN Greg	Liberal Party of Australia New South Wales Division
Auburn	FOLEY Luke	Australian Labor Party (NSW Branch)
Ballina	SMITH Tamara	The Greens
Balmain	PARKER Jamie	The Greens
Bankstown	MIHAILUK Tania	Australian Labor Party (NSW Branch)
Barwon	HUMPHRIES Kevin	National Party of Australia – NSW
Bathurst	TOOLE Paul	National Party of Australia – NSW
Baulkham Hills	ELLIOTT David	Liberal Party of Australia New South Wales Division
Bega	CONSTANCE Andrew	Liberal Party of Australia New South Wales Division
Blacktown	ROBERTSON John	Australian Labor Party (NSW Branch)
Blue Mountains	DOYLE Trish	Australian Labor Party (NSW Branch)
Cabramatta	LALICH Nick	Australian Labor Party (NSW Branch)
Camden	PATTERSON Chris	Liberal Party of Australia New South Wales Division
Campbelltown	WARREN Greg	Australian Labor Party (NSW Branch)
Canterbury	BURNEY Linda	Australian Labor Party (NSW Branch)
Castle Hill	WILLIAMS Ray	Liberal Party of Australia New South Wales Division
Cessnock	BARR Clayton	Country Labor Party
Charlestown	HARRISON Jodie	Australian Labor Party (NSW Branch)
Clarence	GULAPTIS Chris	National Party of Australia – NSW
Coffs Harbour	FRASER Andrew	National Party of Australia – NSW
Coogee	NOTLEY-SMITH Bruce	Liberal Party of Australia New South Wales Division
Cootamundra	HODGKINSON Katrina	National Party of Australia – NSW
Cronulla	SPEAKMAN Mark	Liberal Party of Australia New South Wales Division
Davidson	O'DEA Jonathan	Liberal Party of Australia New South Wales Division
Drummoyne	SIDOTI John	Liberal Party of Australia New South Wales Division
Dubbo	GRANT Troy	National Party of Australia – NSW
East Hills	BROOKES Glenn	Liberal Party of Australia New South Wales Division
Epping	TUDEHOPE Damien	Liberal Party of Australia New South Wales Division
Fairfield	ZANGARI Guy	Australian Labor Party (NSW Branch)
Gosford	SMITH Kathy	Australian Labor Party (NSW Branch)
Goulburn	GOWARD Pru	Liberal Party of Australia New South Wales Division
Granville	FINN Julia	Australian Labor Party (NSW Branch)
Hawkesbury	PERROTTET Dominic	Liberal Party of Australia New South Wales Division
Heathcote	EVANS Lee	Liberal Party of Australia New South Wales Division
Heffron	HOENIG Ron	Australian Labor Party (NSW Branch)
Holsworthy	GIBBONS Melanie	Liberal Party of Australia New South Wales Division
Hornsby	KEAN Matt	Liberal Party of Australia New South Wales Division

## Appendix 3 continued

### Legislative Assembly Elected Candidates – NSW State General Election 2015

ELECTORATE	ELECTED CANDIDATE	PARTY
Keira	PARK Ryan	Australian Labor Party (NSW Branch)
Kiama	WARD Gareth	Liberal Party of Australia New South Wales Division
Kogarah	MINNS Chris	Australian Labor Party (NSW Branch)
Ku-ring-gai	HENSKENS Alister	Liberal Party of Australia New South Wales Division
Lake Macquarie	PIPER Greg	Independent
Lakemba	DIB Jihad	Australian Labor Party (NSW Branch)
Lane Cove	ROBERTS Anthony	Liberal Party of Australia New South Wales Division
Lismore	GEORGE Thomas	National Party of Australia – NSW
Liverpool	LYNCH Paul	Australian Labor Party (NSW Branch)
Londonderry	CAR Prue	Australian Labor Party (NSW Branch)
Macquarie Fields	CHANTHIVONG Anoulack	Australian Labor Party (NSW Branch)
Maitland	AITCHISON Jenny	Country Labor Party
Manly	BAIRD Mike	Liberal Party of Australia New South Wales Division
Maroubra	DALEY Michael	Australian Labor Party (NSW Branch)
Miranda	PETINOS Eleni	Liberal Party of Australia New South Wales Division
Monaro	BARILARO John	National Party of Australia – NSW
Mount Druitt	ATALLA Edmond	Australian Labor Party (NSW Branch)
Mulgoa	DAVIES Tanya	Liberal Party of Australia New South Wales Division
Murray	PICCOLI Adrian	National Party of Australia – NSW
Myall Lakes	BROMHEAD Stephen	National Party of Australia – NSW
Newcastle	CRAKANTHORP Tim	Australian Labor Party (NSW Branch)
Newtown	LEONG Jenny	The Greens
North Shore	SKINNER Jillian	Liberal Party of Australia New South Wales Division
Northern Tablelands	MARSHALL Adam	National Party of Australia – NSW
Oatley	COURE Mark	Liberal Party of Australia New South Wales Division
Orange	GEE Andrew	National Party of Australia – NSW
Oxley	PAVEY Melinda	National Party of Australia – NSW
Parramatta	LEE Geoff	Liberal Party of Australia New South Wales Division
Penrith	AYRES Stuart	Liberal Party of Australia New South Wales Division
Pittwater	STOKES Rob	Liberal Party of Australia New South Wales Division
Port Macquarie	WILLIAMS Leslie	National Party of Australia – NSW
Port Stephens	WASHINGTON Kate	Country Labor Party
Prospect	McDERMOTT Hugh	Australian Labor Party (NSW Branch)
Riverstone	CONOLLY Kevin	Liberal Party of Australia New South Wales Division
Rockdale	KAMPER Steve	Australian Labor Party (NSW Branch)
Ryde	DOMINELLO Victor	Liberal Party of Australia New South Wales Division
Seven Hills	TAYLOR Mark	Liberal Party of Australia New South Wales Division

# Appendices continued

## Appendix 3 continued

### Legislative Assembly Elected Candidates – NSW State General Election 2015

ELECTORATE	ELECTED CANDIDATE	PARTY
Shellharbour	WATSON Anna	Australian Labor Party (NSW Branch)
South Coast	HANCOCK Shelley	Liberal Party of Australia New South Wales Division
Strathfield	McKAY Jodi	Australian Labor Party (NSW Branch)
Summer Hill	HAYLEN Jo	Australian Labor Party (NSW Branch)
Swansea	CATLEY Yasmin	Australian Labor Party (NSW Branch)
Sydney	GREENWICH Alex	Independent
Tamworth	ANDERSON Kevin	National Party of Australia – NSW
Terrigal	CROUCH Adam	Liberal Party of Australia New South Wales Division
The Entrance	MEHAN David	Australian Labor Party (NSW Branch)
Tweed	PROVEST Geoff	National Party of Australia – NSW
Upper Hunter	JOHNSEN Michael	National Party of Australia – NSW
Vaucluse	UPTON Gabrielle	Liberal Party of Australia New South Wales Division
Wagga Wagga	MAGUIRE Daryl	Liberal Party of Australia New South Wales Division
Wakehurst	HAZZARD Brad	Liberal Party of Australia New South Wales Division
Wallsend	HORNERY Sonia	Australian Labor Party (NSW Branch)
Willoughby	BEREJIKLIAN Gladys	Liberal Party of Australia New South Wales Division
Wollondilly	ROWELL Jai	Liberal Party of Australia New South Wales Division
Wollongong	HAY Noreen	Australian Labor Party (NSW Branch)
Wyong	HARRIS David	Australian Labor Party (NSW Branch)

## Appendix 4

### Legislative Council Elected Candidates – NSW State General Election 2015

ORDER ELECTED	CANDIDATE NAME	GROUP	GROUP NAME	ELECTED AT COUNT
1	AJAKA John	E	LIBERAL / NATIONALS	1
2	COTSIS Sophie	K	LABOR / COUNTRY LABOR	1
3	KAYE John	S	THE GREENS	1
4	FRANKLIN Ben	E	LIBERAL / NATIONALS	4
5	SECORD Walt	K	LABOR / COUNTRY LABOR	4
6	FARUQI Mehreen	S	THE GREENS	4
7	MASON-COX Matthew	E	LIBERAL / NATIONALS	7
8	VOLTZ Lynda	K	LABOR / COUNTRY LABOR	7
9	HARWIN Don	E	LIBERAL / NATIONALS	9
10	MOSELMANE Shaoquett	K	LABOR / COUNTRY LABOR	9
11	TAYLOR Bronnie	E	LIBERAL / NATIONALS	11
12	VEITCH Mick	K	LABOR / COUNTRY LABOR	11
13	AMATO Louis	E	LIBERAL / NATIONALS	13
14	SEARLE Adam	K	LABOR / COUNTRY LABOR	13
15	MALLARD Shayne	E	LIBERAL / NATIONALS	15
16	KHAN Trevor	E	LIBERAL / NATIONALS	16
17	FARLOW Scott	E	LIBERAL / NATIONALS	17
18	HOUSSOS Courtney	K	LABOR / COUNTRY LABOR	391
19	BORSAK Robert	N	SHOOTERS AND FISHERS	391
20	NILE Fred	Q	CHRISTIAN DEMOCRATIC PARTY (FRED NILE GROUP)	391
21	PEARSON Mark	C	ANIMAL JUSTICE PARTY	391

# Appendices continued

## Appendix 5

### Accessing Website Resources

PAGE OR DOCUMENT	NUMBER OF VISITS/OR DOWNLOADS
Community Information Resources page	5253 visits
Information Resources web page	914 visits

### TRANSLATED MATERIAL – HOW-TO-VOTE

How-to-vote Chinese	62 downloads
How-to-vote Korean	25 downloads
How-to-vote Arabic	19 downloads
How-to-vote Vietnamese	18 downloads
How-to-vote Greek	8 downloads
How-to-vote Persian	7 downloads
How-to-vote Hindi	6 downloads
How-to-vote Italian	6 downloads
How-to-vote Turkish	6 downloads
How-to-vote Indonesian	5 downloads
How-to-vote Croatian	4 downloads
How-to-vote Russian	4 downloads
How-to-vote Armenian	3 downloads
How-to-vote Dari	3 downloads
How-to-vote Lao	3 downloads
How-to-vote Macedonian	3 downloads
How-to-vote Portuguese	3 downloads
How-to-vote Spanish	3 downloads
How-to-vote Filipino	2 downloads
How-to-vote Assyrian	1 download
How-to-vote Khmer	1 download
How-to-vote Serbian	1 download

### ANIMATIONS

What happens in a polling place on election day	333 views
What happens in a polling place on election night	251 views
How votes are counted Legislative Council	214 views
How votes are counted Legislative Assembly	201 views
How-to-vote Practice Tool	849 views

PAGE OR DOCUMENT	NUMBER OF VISITS/OR DOWNLOADS
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### ABORIGINAL RESOURCES

Aboriginal Resources web page	196 views
Voting at the NSW State General Election	22 views

### ACTION PLANS

Action Plan web page	174
Multicultural Action Plan	86 visits
Aboriginal Action Plan	57 visits
EAD Disability Action Plan	66 visits

### EASY READ GUIDES

Easy Read web page	809 visits
Easy Read Guide – How do I fill out my voting papers (pdf)	223
Easy Read Guide – Get your name on the roll (pdf)	78

### ACCESSIBLE RESOURCES

Accessible Information web page	1500
---------------------------------	------

### MP3

iVote information	1542
How-to-vote [English]	194
How-to-vote [Cantonese]	31
How-to-vote [Mandarin]	29
How-to-vote [Arabic]	25
How-to-vote [Vietnamese]	6
Enrolment (get on the roll stay on the roll)	5
How-to-vote [Greek]	3
Redistribution	3
Auslan page	2
Large print	269

### COMMUNITY REFERENCE GROUPS

Community Reference Groups Page	146
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### CANDIDATE GUIDE

Candidates Guide to Creating Accessible documents	563 downloads
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## Appendix 6

### State Electoral Districts participating in Targeted Recruitment Strategies, NSW State General Election 2015

ABORIGINAL RECRUITMENT STRATEGY – STATE ELECTORAL DISTRICTS
Barwon
Blacktown
Campbelltown
Cessnock
Charlestown
Dubbo
Lake Macquarie
Londonderry
Macquarie Fields
Mount Druitt
Mulgoa
Northern Tablelands
Oxley
Penrith
Prospect
Riverstone
Seven Hills
Swansea
Tamworth
The Entrance
Wallsend
Wollondilly
Wyong

BILINGUAL RECRUITMENTS STRATEGY – STATE ELECTORAL DISTRICT
Auburn
Bankstown
Blacktown
Cabramatta
Canterbury
Fairfield
Granville
Kogarah
Lakemba
Liverpool
Macquarie Fields
Prospect
Rockdale
Strathfield
Summer Hill

# Appendices continued

## Appendix 7

### Aboriginal Recruitment Strategy: Achievement of employment targets by participating State Electoral Districts, NSW State General Election 2015

STATE ELECTORAL DISTRICT	NUMBER OF PEOPLE EMPLOYED WHO IDENTIFY AS BEING ABORIGINAL	% OF PEOPLE EMPLOYED IN DISTRICT WHO IDENTIFY AS BEING ABORIGINAL	TARGET MET?
Barwon	22	11.7%	✓
Blacktown	8	4.1%	✓
Campbelltown	17	7.6%	✓
Cessnock	10	5.0%	✓
Charlestown	8	3.6%	✓
Dubbo	7	4.2%	✓
Lake Macquarie	7	4.0%	✓
Londonderry	9	4.5%	✓
Macquarie Fields	1	0.49%	-
Mount Druitt	6	3.3%	✓
Mulgoa	3	1.5%	-
Northern Tablelands	11	6.0%	✓
Oxley	8	4.0%	✓
Penrith	14	6.7%	✓
Prospect	6	2.4%	✓
Riverstone	2	1.05%	-
Seven Hills	2	0.86%	-
Swansea	3	1.6%	-
Tamworth	8	4.8%	✓
The Entrance	10	4.6%	✓
Wallsend	9	4.0%	✓
Wollondilly	6	3.0%	✓
Wyong	10	4.5%	✓

There were 23 electoral districts participating in the strategy. The majority of districts participating in the Aboriginal targeted recruitment strategy met and/or exceeded the 2.6 % target.

## Appendix 8

### Components of Media Campaign, NSW State General Election 2015

#### Media release dates and titles

RELEASE DATE	TITLE
21 January	Do you speak English as well as another language?
2 February	Invitation to a background media briefing for the NSW State General Election
3 February	Work at the NSW State General Election
16 February	Electronically assisted voting for the NSW State General Election
18 February	The NSW State General Election is less than 6 weeks away
18 February	Aboriginal Electoral Officials wanted
26 February	Interstate and overseas voting changes
3 March	Electoral Boundaries have changed
9 March	Nominations are open for the NSW State General Election
10 March	It's not too late to enrol to vote
11 March	Nominations close tomorrow for the NSW State General Election
12 March	Early voting options for the NSW State General Election
13 March	Know your candidates for the NSW State General Election
16 March	Early voting starts today
19 March	Get ready to vote at the NSW State General Election
21 March	Early voting options prove popular
23 March	Get ready to vote at the NSW State General Election
26 March	Results information for the NSW State General Election
27 March	Where to vote tomorrow

#### Media Interviews

68 interviews were conducted on 30 regional, Sydney metro or state-wide radio and TV stations as below:

STATION	STATION	STATION
2BS	2UE	ABC North Coast
2DU	2WS	ABC Riverina
2EC	949 Power FM	ABC South East NSW
2GB	ABC State-wide	ABC Wollongong
2HD	ABC Coffs Coast	C91.3
2KO	ABC Dubbo	Koori Radio
2MN Upper Hunter	ABC Illawarra	Outback radio
2NUR	ABC Mid North Coast	STAR FM Coffs Port Macquarie
2SM	ABC New England	PRIME 7 Tamworth
2TM Tamworth	ABC Newcastle	ABC TV News 24

# Appendices continued

## Appendix 8 continued

### Components of Media Campaign, NSW State General Election 2015

#### Advertising Campaign Schedule

MESSAGE TITLE	MESSAGE CONTENT	MEDIA	START	FINISH
Brand TV (enrolment)	Get ready for the election. Check your enrolment.	TV – State-wide, CALD, Aboriginal	24 February	3 March
		TV – Online	22 February	3 March
Enrolment	Now is time to check and update details or enrol. Website, enquiry centre details etc.	Radio – Regional	25 March	3 March
		Digital – State-wide	24 February	3 March
		Press – Aboriginal	25 February	25 February
Redistribution	You may be affected by redistribution. Check your enrolment. Vote at your usual local voting centre. Extra staff on hand to help. Website, enquiry centre details etc.	Print – Geographically targeted	2 March	7 March
		Radio – Geographically targeted	2 March	8 March
iVote	iVote registrations are now open iVote is available to electors outside NSW on election day. Website, enquiry centre details etc.	Digital – Targeted to electors overseas or interstate	22 February	27 March
		Print – State-wide	7 March	25 March
		Radio – Metro ATN, regional	16 March	27 March
Issue of Writ	Statutory notice including dates of election day, close of nominations and return of writ. Website, enquiry centre details etc.	Print – Sydney metro	8 March	8 March
Call for nominations	Nominations are now open. Closing dates and times. How to nominate. Website, enquiry centre details etc.	Print – Sydney metro, Newcastle, Wollongong	8 March	11 March
Register 'How-to-Vote' material	Details of how to register and deadlines. Website, enquiry centre details etc.	Print – Sydney metro	15 March	15 March
Pre-poll and postal voting	Publicising early voting options of: <ul style="list-style-type: none"> <li>Postal</li> <li>iVote</li> <li>Pre-poll</li> </ul> Website, enquiry centre details etc.	TV – State-wide, CALD, Aboriginal	11 March	22 March
		TV – Online		
		Print – State-wide, CALD, Aboriginal	10 March	16 March
		Radio – State-wide, CALD Aboriginal	13 March	19 March
		Digital – State-wide, CALD	11 March	21 March
Interstate and overseas voting	No in person voting available at airport or O/S locations as in the past. iVote option available instead. Website, enquiry centre details etc.	Print – Sydney Metro (SMH, DT), Newcastle, Wollongong	17 March	17 March
Candidates for Legislative Assembly and Legislative Council	Nominations closed, candidate details now available. Website, enquiry centre details etc.	Print – Sydney Metro, Newcastle, Wollongong, major regional	16 March	16 March
'How-to-vote' for Legislative Assembly and Legislative Council	How to complete your ballot papers correctly. Election day information. Website, enquiry centre details etc.	Print – CALD, Aboriginal	19 March	25 March

## Appendix 9

### Commercial Elections 2014-15

MONTH AND YEAR OF ELECTION	ORGANISATION	ELECTION
July 2014	Collaroy Services Beach Club	Board of Directors
August 2014	ClubsNSW	Regional Councillors
September 2014	Leichhardt Bowling & Recreation Club	Board of Directors
October 2014	Shoalhaven Heads Bowling and Recreation Club	Board of Directors
October 2014	NSW Architects Registration Board	Election of two Board Members
October 2014	Auburn Tennis and Recreation Club	Board of Directors
October 2014	ClubsNSW	Board of Directors (Group 3)
October 2014	Wallsend RSL & Community Club (Wallsend Diggers)	Board of Directors
November 2014	Commercial Club (Albury)	Board of Directors
November 2014	Federation of Parents and Citizens Association of NSW	Branch Delegates to Council
November 2014	Tibooburra Village Committee Inc.	Committee members
November 2014	West Tradies Club	Board of Directors
November 2014	Transport Workers Union	Administration Committee
November 2014	NSW Gun Club	Board of Directors
December 2014	The Funeral and Allied Industries Union of NSW	Committee of Management
February 2015	Lord Howe Island Board	Four Board Members
March 2015	Bus & Coach Industrial Association NSW	Secretary and Deputy Secretary
March 2015	Association of Professional Engineers, Scientists & Managers Australia (NSW)	Executive Committee
March 2015	Cronulla Sutherland Leagues Club	Board of Directors
April 2015	Fire Brigade Employees Union of NSW	President, Senior Vice President, Junior Vice President & 13 Sub-Branch Secretaries
May 2015	Canley Heights RSL & Sporting Club	Board of Directors
June 2015	NSW Nurses and Midwives' Association	General Secretary, Assistant General Secretary & 21 Councillors
June 2015	Rice Marketing Board	One Board Member

# Appendices continued

## Appendix 10

### Management Committee Meetings in 2014-15

DATE	NUMBER OF ATTENDEES
8 July 2014	7
5 August 2014	9
2 September 2014	8
7 October 2014	9
12 November 2014	7
9 December 2014	8
15 January 2015	9
17 February 2015	10
21 April 2015	10
19 May 2015	10
16 June 2015	10

The following members of the Executive and senior management, or their nominees, attend Management Committee meetings:

- **Colin Barry**  
Electoral Commissioner
- **Paul Beeren**  
Director Enrolment
- **Ian Brightwell**  
Director IT Services/Chief Information Officer
- **Greg Brandtman**  
Director Administration
- **Alison Byrne**  
Director Funding Disclosure & Compliance  
(from August 2014)
- **Dr Elizabeth Coombs**  
Director Performance Measurement (part-time)
- **Brian DeCelis**  
Director Funding & Disclosure  
(until August 2014)
- **Trevor Follett**  
Director Finance/Chief Financial Officer
- **Linda Franklin**  
Director Elections
- **Sonja Hewison**  
Director Legal
- **Simon Kwok**  
Acting Director Elections  
(from Late June 2015)
- **Jennifer Nilsen**  
HR Manager  
(from February 2015)

## Appendix 11

Annual Report under the *Government Information (Public Access) Act 2009*

Section 125 of the *Government Information (Public Access) Act 2009* (GIPA Act) requires an agency to prepare an annual report on the agency's obligations under the GIPA Act. The *Government Information (Public Access) Regulation 2009* (GIPA Regulation) sets out the information to be included in the annual report.

During the 2014-15 financial year, the NSWEC Staff Agency provided administrative services to both the NSW Electoral Commission (a statutory corporation established under section 21A of the *Parliamentary Electorates and Elections Act 1912*) and the Election Funding Authority of New South Wales (a statutory corporation established under section 5 of the *Election Funding, Expenditure and Disclosures Act 1981*).

It is noted that the *Electoral and Lobbying Legislation Amendment (Electoral Commission) Act 2014* which commenced on 1 December 2014 abolished the Election Funding Authority and conferred its functions to the NSW Electoral Commission.

The report below is prepared by the NSWEC Staff Agency as required under section 125 of the GIPA Act and concerns access to government information pertaining to both the NSW Electoral Commission and the Election Funding Authority.

### GIPA annual report

Agency Name	New South Wales Electoral Commission Staff Agency for the NSW Electoral Commission (NSWEC) and the Election Funding Authority of NSW (EFA)
Principal Department (if applicable)	N/A
Reporting Period	2014-15

### Obligations under the GIPA Act

#### 1. Review of proactive release program – Clause 7(a)

Our agency's program for proactive release of information is detailed below:

- All Directors are responsible for identifying (within their areas of responsibility) information that should in the public interest be released proactively;
- Proposals are submitted to the Management Committee for endorsement;
- Upon endorsement from the Management Committee, information to be released proactively is referred to the Right to Information Officer who will arrange public access to that information.

During the 2013-14 financial year the program was included as a standing agenda item for Management Committee meetings. Directors were invited to review the program and advise whether they identified any information that should in the public interest be release proactively.

Information proactively released during the reporting period includes the following:

DETAILS	PUBLISHED	WEBSITE
Hurstville City Council By-election Report	29/7/14	NSWEC
Woolahra Municipal Council By-election 15 Mar 2014	29/7/14	NSWEC
Regulating Direct Lobbying in New South Wales for Integrity and Fairness	10/11/14	NSWEC
NSWEC Action Plan 2014-16: Equal Access to Democracy	3/12/14	NSWEC
NSWEC Action Plan 2014-16: Aboriginal and Torres Strait Islander	3/12/14	NSWEC
NSW State General Election 2015 Service Charter	15/1/15	NSWEC
NSWEC Election Service Charter 2014-16	15/1/15	NSWEC
iVote Security Implementation Statement March 2015	6/3/15	NSWEC
iVote® Security Response	23/3/15	NSWEC

#### 2. Number of access applications received – Clause 7(b)

During the reporting period, our agency received a total of 4 formal access applications (including withdrawn applications but not invalid applications).

# Appendices continued

### 3. Number of refused applications for Schedule 1 information – Clause 7(c)

During the reporting period, our agency refused 1 access application in part because the information requested was information referred to in Schedule 1 to the GIPA Act.

### 4. Statistical information about access applications – Clause 7(d) and Schedule 2

**Table A – Number of applications by type of applicant and outcome\***

	ACCESS GRANTED IN FULL	ACCESS GRANTED IN PART	ACCESS REFUSED IN FULL	INFORMATION NOT HELD	INFORMATION ALREADY AVAILABLE	REFUSE TO DEAL WITH APPLICATION	REFUSE TO CONFIRM/DENY WHETHER INFORMATION IS HELD	APPLICATION WITHDRAWN
Media	0	0	0	0	0	0	0	0
Members of Parliament	0	0	0	0	0	0	0	0
Private sector business	0	0	0	0	0	0	0	0
Not for profit organisations or community groups	0	0	0	0	0	0	0	0
Members of the public (application by legal representative)	0	0	0	0	0	0	0	1
Members of the public (other)	1	0	1	0	0	0	0	0

\*More than one decision can be made in respect of a particular access application.

**Table B – Number of applications by type of application and outcome**

	ACCESS GRANTED IN FULL	ACCESS GRANTED IN PART	ACCESS REFUSED IN FULL	INFORMATION NOT HELD	INFORMATION ALREADY AVAILABLE	REFUSE TO DEAL WITH APPLICATION	REFUSE TO CONFIRM/DENY WHETHER INFORMATION IS HELD	APPLICATION WITHDRAWN
Personal information applications*	0	0	0	0	0	0	0	0
Access applications (other than personal information applications)	1	0	1	0	0	0	0	1
Access applications that are partly personal information applications and partly other	0	0	0	0	0	0	0	0

\*A personal information application is an access application for personal information (as defined in clause 4 of Schedule 4 to the Act) about the applicant (the applicant being an individual).



**Table C – Invalid applications**

REASON FOR INVALIDITY	NUMBER OF APPLICATIONS
Application does not comply with formal requirements (section 41 of the Act)	0
Application is for excluded information of the agency (section 43 of the Act)	2
Application contravenes restraint order (section 110 of the Act)	0
Total number of invalid applications received	0
Invalid applications that subsequently became valid applications	0

**Table D – Conclusive presumption of overriding public interest against disclosure: matters listed in Schedule 1 of the Act**

	NUMBER OF TIMES CONSIDERATION USED*
Overriding secrecy laws	1
Cabinet information	0
Executive Council information	0
Contempt	0
Legal professional privilege	0
Excluded information	0
Documents affecting law enforcement and public safety	0
Transport safety	0
Adoption	0
Care and protection of children	0
Ministerial code of conduct	0
Aboriginal and environmental heritage	0

**Table E – Other public interest considerations against disclosure: matters listed in table to section 14 of the Act**

	NUMBER OF OCCASIONS WHEN APPLICATION NOT SUCCESSFUL
Responsible and effective government	0
Law enforcement and security	0
Individual rights, judicial processes and natural justice	0
Business interests of agencies and other persons	0
Environment, culture, economy and general matters	0
Secrecy provisions	0
Exempt documents under interstate Freedom of Information legislation	0

# Appendices continued

**Table F – Timeliness**

	NUMBER OF APPLICATIONS
Decided within the statutory timeframe (20 days plus any extensions)	1
Decided after 35 days (by agreement with applicant)	0
Not decided within time (deemed refusal)	1
Total	2

**Table G – Number of applications reviewed under Part 5 of the Act (by type of review and outcome)**

	DECISION VARIED	DECISION UPHELD	TOTAL
Internal review	0	0	0
Review by Information Commissioner*	0	0	0
Internal review following recommendation under section 93 of Act	0	0	0
Review by ADT	0	0	0
Total	0	0	0

\*The Information Commissioner does not have the authority to vary decisions, but can make recommendation to the original decision-maker. The data in this case indicates that a recommendation to vary or uphold the original decision has been made.

**Table H – Applications for review under Part 5 of the Act (by type of applicant)**

	NUMBER OF APPLICATIONS FOR REVIEW
Applications by access applicants	0
Applications by persons to whom information the subject of access application relates (see section 54 of the Act)	0

## Appendix 12

### Code of Conduct

Employees of the NSW Electoral Commission Staff Agency ('NSWEC') are expected to meet community expectation by observing the principles set out in this Code of Conduct (the Code). The Office provides administrative support to the statutory corporations of the NSW Electoral Commission. The Code aims to set out the conduct required in the performance of their work, duties and functions and the consequences of not meeting these requirements. The Code was approved and took effect on 30 March 2012 and will be reviewed in March 2016.

The Code covers:

- Personal and professional behaviour
- Use and security of NSWEC information
- Disclosures & Reporting issues
- Public comment
- Use of the NSWEC resources
- Communication devices
- Acceptance of gifts and benefits
- Outside work and private practice
- Secondary employment
- Post NSWEC
- Failure to comply with the Code
- Roles and responsibilities
- Conflicts of interest
  - Types of conflict of interest
  - Managing a conflict of interest
  - Disclosure of conflict of interest – what to do

## Appendix 13

### Determinations on Requests for Electoral Information or Data, 2014-15

3 July 2014	<b>Family &amp; Community Services – Housing NSW</b> Request for access to data for pilot project	Request pending
11 July 2014	<b>No Land Tax Campaign</b> Request for copy of the NSW Roll for electoral purposes	Request approved
14 August 2014	<b>NSW Police</b> Affidavit request for evidentiary documents relating to the enrolment history of an individual and residence	Request approved
22 August 2014	<b>Wilson Haynes Solicitors</b> Enrolment search for the service of divorce documents	Request denied
27 August 2014	<b>LHD Lawyers</b> Enrolment search for service of documents for debt recovery	Request denied
29 August 2014	<b>Steadfast Solicitors</b> Subpoena for evidentiary documents relating to the enrolment history of 3 individuals	Request approved
2 September 2014	<b>Private request</b> Requesting the residential address of family member in NSW	Request denied
26 September 2014	<b>Ann Arnold – ABC Radio National</b> Request for an inspection of the City of Sydney Non-residential Roll for the 2012 Local Government Elections	Request approved
13 October 2014	<b>Private request</b> Requesting the residential address of an individual to provide location to Auckland High Court	Request denied
20 January 2015	<b>Macdonald Law</b> Enrolment search for residential addresses for administration of a will	Request denied
16 February 2015	<b>STACKS Law Firm</b> Enrolment search of residential roll for address to send correspondence to an individual	Request denied
6 March 2015	<b>Randwick City Council</b> Request for roll of council area to conduct poll by mail	Request denied
12 March 2015	<b>Metro Migrant Resource Centre</b> Enrolment search for the service of divorce documents	Request denied
5 May 2015	<b>Mayor Joanna Gash – Shoalhaven City Council</b> Request of copy of council roll and monthly updates of new residents within the council	Request denied
29 June 2015	<b>Christopher Adams Lawyers</b> Enrolment search of residential roll for address for service of documents to an individual	Request denied

# Appendices continued

## Appendix 14

### Numbers, gender and remuneration of executive officers, 2014-15

BAND	2015	
	MALE	FEMALE
Band 3 (equivalent)	1	0
Band 2 (equivalent)	0	0
Band 1 (equivalent)	7	4

BAND	RANGE \$	AVERAGE REMUNERATION 2015
Band 3 (equivalent)	305,401-430,450	355,804
Band 2 (equivalent)	0	0
Band 1 (equivalent)	170,250-242,800	216,931

25.43 % of the NSW Electoral Commission's employee related expenditure in 2015 was related to senior executives.

## Appendix 15

### Overseas visits and delegations

On 25 November 2014 the Commission hosted a visit by the Thai Election Commissioner to discuss election management.

On 27 May 2015 the Commission hosted a visit by a delegation from Mongolia to discuss Australia's election experience and public policy in general.

From 16 to 21 September 2014 the Electoral Commissioner was in New Zealand to attend meetings of the Electoral Council of Australia and New Zealand and of the State and Territories Electoral Commissions and to observe the New Zealand General Election.

From 7 to 10 December 2014 the Director Funding, Disclosure and Compliance attended the Council on Governmental Ethics Law conference in Pittsburgh, United States of America.

## Appendix 16

### Digital Information Security Annual Attestation Statement 2014-15



#### Digital Information Security Annual Attestation Statement for the 2014-2015 Financial Year for NSW Electoral Commission

I, Colin Barry am of the opinion that NSW Electoral Commission had developed an Information Security Management System during the financial year that is consistent with the Core Requirements set out in the Digital Information Security Policy.

The minimum controls to mitigate identified risks to the digital information and digital information systems of NSW Electoral Commission are defined.

Risks to the digital information and digital information system of NSW Electoral Commission have been assessed with an independent ISMS developed in accordance with the NSW Government Digital Information Security Policy.

  
Colin Barry

Electoral Commissioner

Date: 11/9/15

# Glossary

NAME/TITLE	SYNOPSIS
Absent vote	A vote made at a polling place by an elector who is outside his/her own electoral district on election day.
Absolute majority	More than 50% of the total formal vote.
Australian Electoral Commission	The organisation responsible for conducting Federal elections, referendums and maintaining the Commonwealth electoral roll.
Ballot box	The sealed container into which an elector places a completed ballot paper.
Ballot paper	The paper printed for an election which a voter marks to record his/her vote.
By-election	An election held to fill a casual vacancy, usually caused by retirement, death or resignation of the Member for that district
Candidate	A person who nominates for election to Parliament or to a council.
Check count	On the Sunday after election day the ballot papers are checked and counted again at the Returning Officer's office to ensure accuracy of the figures from the election night count.
Compulsory enrolment	Every person who is entitled to have his/her name placed on the electoral roll must complete an enrolment form and send it to the Australian Electoral Commission within 21 days of becoming entitled. A penalty applies for failing to enrol.
Compulsory voting	Once enrolled to vote, voting is compulsory. A penalty applies for failing to vote.
Declaration of Poll	An announcement made by the Returning Officer proclaiming the successful candidate elected as the Member for that district, ward or council. The Electoral Commissioner declares the poll for the Legislative Council.
Declaration vote	A vote cast by an elector when the ballot papers are enclosed in an envelope containing a printed declaration signed by the elector.
Declared Institution	A nursing home, hospital or similar facility is appointed by the Electoral Commissioner and visited by election officials for the purpose of taking votes from residents who are unable to attend a polling place.
Deferred election	A deferred election occurs when the council is unable to conduct an election at the time of Local Government Elections.
Election	Selection by vote of a person or persons to hold political office.
Election Funding Authority	The statutory body previously responsible for administering the provisions of the <i>Election Funding, Expenditure and Disclosures Act 1981</i> . It was abolished in November 2014 and its functions transferred to the NSW Electoral Commission.
Elector	A person who is entitled to vote at an election.
Electoral Commissioner	The statutory officer appointed to manage the conduct of State and other elections.
Electoral district	One of the 93 Legislative Assembly electorates.
Election Management Application	A computer software application consisting of four modules (staffing, candidates, declaration votes and results) to automate many of the routine tasks otherwise performed by election officials.
Electoral roll	The certified list of persons eligible to vote at an election. The rolls are maintained by the Australian Electoral Commission.
Electorate	The population of electors or the region in which electors live. Electorates have clearly defined boundaries which are shown on electoral district maps.
Enrolment	The act of enrolling or having one's name added to the list of electors entitled to vote.
Federal Government	At Federation in 1901, the States handed over certain powers to the central or Federal Government for administration on an Australia wide basis, while reserving other functions for State government responsibility.
Formal vote	A ballot paper at an election or referendum, which has been correctly marked according to instructions, and contributes to the outcome of the poll.
Independent	A candidate for election to, or a member of, Parliament who is not a member of a political party.

NAME/TITLE	SYNOPSIS
Informal vote	A ballot paper which is either left blank or is incorrectly marked. Those ballot papers are excluded from the count and therefore do not contribute to the election of a candidate.
iVote	An internet and telephone-based voting system.
Joint Standing Committee on Electoral Matters	The Joint Standing Committee on Electoral Matters of the NSW Parliament reviews the administration and conduct of State and Local Government Elections and any other function referred by the Premier.
Legislative Assembly	The Lower House of Parliament in NSW. It consists of 93 members, one elected for each electoral district.
Legislative Council	The Upper House of Parliament in NSW. It has 42 members elected for an 8 year term, half of whom are elected at each NSW State General Election.
Nomination	The process by which a person applies to become a candidate for election.
Opposition	The party or parties which do not hold sufficient seats in Parliament to lead a government.
Ordinary vote	A vote recorded in the normal manner at a polling place on election day.
Parliament	The legislative body, consisting of the elected representatives of the people, which determines the laws governing the nation or state. The candidates or political party holding the majority of seats form the government.
Political party	An organised group with a common political philosophy which seeks to win and retain public office for itself and its leaders. Party organisations support or endorse candidates for elections who, if elected, usually vote as a group for their policies in Parliament. The party with the greatest numbers in Parliament forms the government.
Poll	An election.
Polling place	A building, such as a school, designated as a place to which voters go during an election to cast their votes.
Postal vote	Electors, who are outside their electoral district on election day, or unable to attend a polling place during polling hours, may send a vote by post. Voters must apply for a postal vote prior to election day.
Pre-poll	Electors who cannot vote on election day can apply to vote early at the office of a Returning Officer or at a pre-poll voting centre.
Recount	A second or further count of votes in an election.
Redistribution	Changes in boundaries of electoral districts to take into account population changes. The result should be that the number of electors enrolled in each district should be equal, give or take three per cent.
Referendum	Vote taken to allow electors to express their view on a particular subject or issue. Some alterations to the Constitution can only be made after approval in a referendum.
Registrar	Person who has the responsibility of maintaining electoral rolls in NSW.
Returning Officer	The election official responsible for conducting an election for a Legislative Assembly district or the Legislative Council or a council.
Roll	See electoral roll.
Scrutineer	A person appointed by a candidate to ensure that procedures and counting are undertaken in a proper manner.
SmartRoll	A data system that automatically enrolls and re-enrolls eligible electors adding their correct details to the NSW electoral roll.
Term	The length of time a Parliament may sit before having to call an election. NSW has fixed four year terms.
Virtual Tally Room	Where voting figures are collected and provisional results are announced.
Vote	The process of choosing/selecting a candidate for political office.
Ward	Subdivisions with approximately equal numbers of electors, of a Local Government area.

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**4,561,234 electors** voted in the 2015 State General Election



**283,669** electors voted electronically compared to 50,000 in the 2011 State General Election



**22,355 staff** were employed at the State General Election



**2,800+** polling places were provided for voters across NSW at the State General Election



Total expenses for 2014-15 were **\$100.6 million**. Average cost per elector was **\$11.03** for the 2015 State General Election



We paid **claims totalling \$15.1 million** to Candidates, Groups and Political Parties



State registered parties reported receiving **donations of \$5.1 million**



Local Government parties reported receiving **donations of \$54,265**

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