Enrolment Report: January - March 2026

Out of scope

[redacted]

QUALITY ASSURANCE REVIEW (manual checks)

During the Enrolment Update Campaign, the team maintained a strong focus on data integrity through ongoing Quality Assurance (QA) checks. In response to the high volume of enrolment transactions processed during this period, experienced staff were systematically assigned a minimum of one hour per day to conduct QA reviews. These checks were performed on randomly selected records to ensure accuracy, consistency, and compliance with established enrolment protocols.

This proactive approach reinforces the Commission's commitment to maintaining the integrity of the electoral roll and supports continuous improvement across enrolment operations.

Results Summary

Month	Number of Transactions processed	Total checks undertaken	# Accurate	Minor	Medium	Major	Accuracy rate
July	67,355	6,735	6,652	67	16	5	99%
August	67,230	6,859	6,778	69	13	4	99%
September	57,925	8,175	1,513	23	3	1	99%
October	35,790	5,720	5,624	72	24	0	98%
November	13,725	1,650	1,475	21	6	1	98%
December	9,795	1,353	1,330	16	9	0	98%
January	20,010	3,084	3,035	32	16	1	98%
February	24,560	3,435	3,391	27	17	0	99%
March*	24,930	1,466	1,446	13	6	0	99%

Incident reports and improvement plans have been completed for the two incidents reported on in previous quarter.

The major issue affecting an individual's right to vote was a keying error by the processing officer not selecting the correct town name resulting in the individual being in the wrong electorate. The incident was referred to the appropriate Team Leader who took the processing officer and checker through an incident report and provided follow up support. Further investigations are underway to assess other training requirements for processing officer

Minor and medium inconsistencies persist but are expected to be resolved with the rollout of Te Epa (new knowledge base) and new training programmes.

** March report in currently in progress*

Integrity and assurance highlights for the quarter include:

- External audit was undertaken by Grant Thornton, report due April 2026
- 100% quality assurance checks of the automatic processing transactions started 16 March 2026.
- Transaction Status Report (TSR) undertook 40,447 checks resulting in a 99.1% accuracy rate, above our threshold of 98.5%
- The NZ Post Address File (PAF) compared to the MIKE data base's level of accuracy is at 98.15%
- Testing is underway for final quality assurance alerts within the MIKE system
- MIKE users and access checks completed for this quarter.
- There has been a delay in a number of new quality assurance dashboard however they are all expected to be completed by end of April 2026.

Next Steps

1. Finalising the documentation within Te Epa
2. Quality Assurance undertaken for Māori Electoral Option
3. Review External Audit by Grant Thornton
4. Continued to refine Quality and Assurance controls
5. Continue to undertake Quality and Assurance checks on EnrolOnline - Automatic Processing transactions
6. New Quality and Assurance dashboard showing trends

Enrolment Report: October - December 2025

Out of [redacted]

Out of scope

[redacted]

QUALITY ASSURANCE REVIEW (manual checks)

During the Enrolment Update Campaign, the team maintained a strong focus on data integrity through ongoing Quality Assurance (QA) checks. In response to the high volume of enrolment transactions processed during this period, experienced staff were systematically assigned a minimum of one hour per day to conduct QA reviews. These checks were performed on randomly selected records to ensure accuracy, consistency, and compliance with established enrolment protocols.

This proactive approach reinforces the Commission's commitment to maintaining the integrity of the electoral roll and supports continuous improvement across enrolment operations.

Results Summary

Month	Number of Transactions processed	Total checks undertaken	# Accurate	Minor	Medium	Major	Accuracy rate
July	67355	6735	6652	67	16	5	99%
August	67230	6859	6778	69	13	4	99%
September	57925	8175	1513	23	3	1	99%
October	35790	5720	5624	72	24	0	98%
November	13725	1650	1475	21	6	1	98%
December	9795	1353	1330	16	9	0	98%

Incident reports and improvement plans have been completed for the nine incidents reported on in July – September quarter.

Two new incidents have been identified during the QAR that would potentially affected an individual's right to vote.

- Keyer selected wrong person same name and similar DOB for IVS1 transaction (not reported in September)
- Wrong town name assigned to record

Both incidents were referred to the appropriate Team Leader who took the keyer and/or checker through an incident report and provided follow up support.

Minor inconsistencies persist but are expected to be resolved with the rollout of the new knowledge base and changes to legislation.

Next Steps

1. Finalising the documentation within Te Epa
2. External Audit by Grant Thornton during February
3. Continued to refine Quality and Assurance controls
4. Implementation of new roll cleanses and final MIKE alerts
5. Undertake Quality and Assurance checks on EnrolOnline -Automatic Processing
6. New Quality and Assurance dashboard showing trends

Enrolment Report: July - September 2025

[redacted]

Out of [redacted]

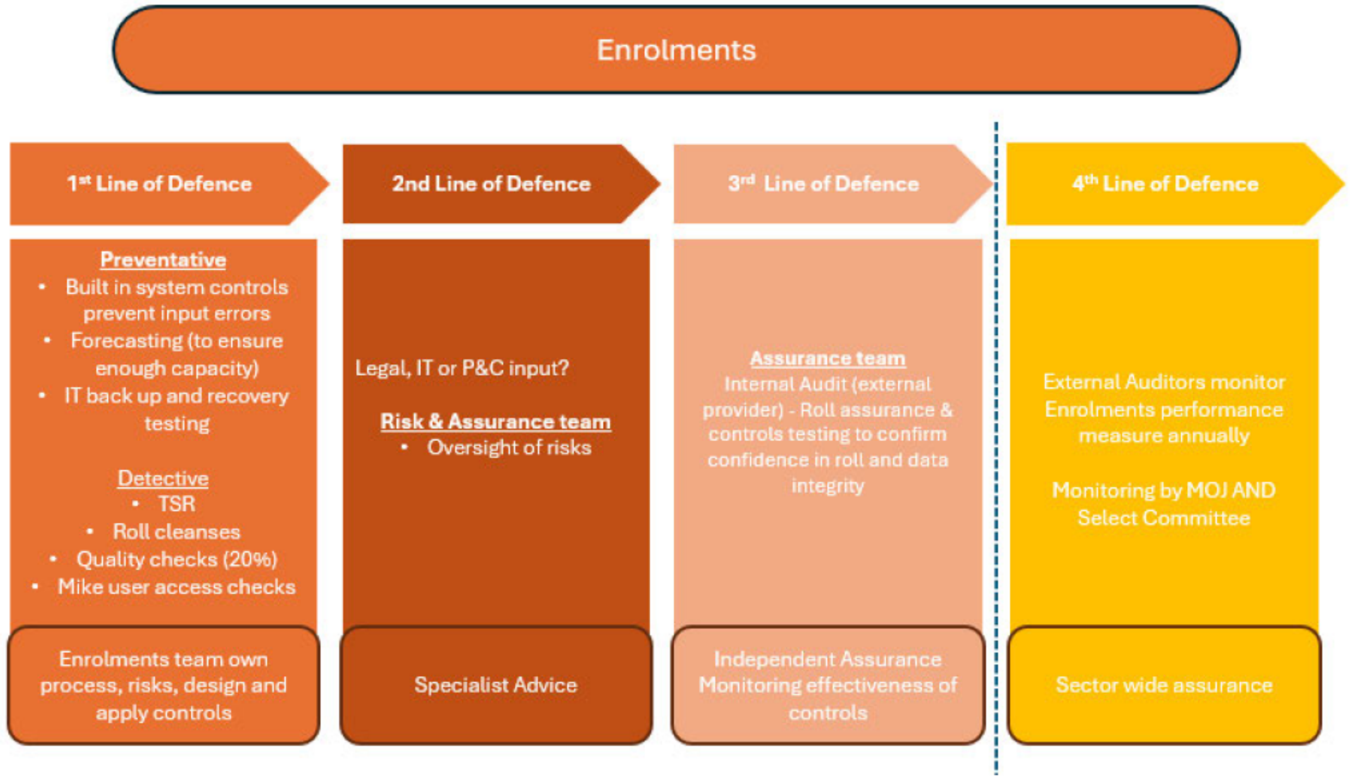
DATA INTEGRITY AND ASSURANCE

Integrity and assurance highlights for the quarter include:

QUALITY ASSURANCE REVIEW (manual checks)

- The NZ Post Address File (PAF) compared to the MIKE data base's level of accuracy is at 98.10%
- Transaction Status Report (TSR) undertook 142,335 checks resulting in a 99.0% accuracy rate, meeting our threshold of 98.5%
- Draft Quality and Assurance plan completed for 2025/2026 period
- Working cross business units to strengthen the Quality and Risk Assurance programme for BAU and GE26

Providing clarity how across business units



During the Enrolment Update Campaign, the team maintained a strong focus on data integrity through ongoing Quality Assurance (QA) checks. In response to the high volume of enrolment transactions processed during this period, experienced staff were systematically assigned a minimum of one hour per day to conduct QA reviews. These checks were performed on randomly selected records to ensure accuracy, consistency, and compliance with established enrolment protocols.

This proactive approach reinforces the Commission's commitment to maintaining the integrity of the electoral roll and supports continuous improvement across enrolment operations.

Results Summary

Month	# Transactions	Total checks undertaken	# Accurate	Minor	Medium	Major	Accuracy rate
July	67355	6735	6652	67	16	5	99%
August	67230	6859	6778	69	13	4	99%
September	57925	1539	1513	23	3	0	In progress

Nine major issues were found that would have affected an individual's right to vote.

- 4 incorrect address point selected
- 1 death notice not processed correctly
- 1 Duplicate person missed
- 3 overwritten records

All nine incidents were referred to the appropriate Team Leader who took the keyer and/or checker through an incident report and provided follow up support.

Minor inconsistencies persist but are expected to be resolved with the rollout of the new knowledge base.

Next Steps

1. Finalising the **new online format** for the knowledge base
2. Continued QA refinement and cross-unit collaboration
3. UAT Quality Assurance alerts
4. Monitoring public sentiment and digital platform performance

Enrolment Data Quality and Integrity Assurance Plan – next 12 months

							MEO Campaign			EUC Campaign		
	October	**November**	**December**	**January**	**February**	**March**	**April**	**May**	**June**	**July**	**August**	**September**
Data Validation	Roll Cleanses (Person) Roll Cleanses (Address)	Roll Cleanses (Person) Roll Cleanses (Address)	Roll Cleanses (Person) Roll Cleanses (Address)	Roll Cleanses (Person) Roll Cleanses (Address)	Roll Cleanses (Person) Roll Cleanses (Address)	Roll Cleanses (Person) Roll Cleanses (Adress)	Roll Cleanses (Person) Roll Cleanses (Address)	Roll Cleanses (Person) Roll Cleanses (Address)	Roll Cleanses (Person) Roll Cleanses (Address)	Roll Cleanses (Person) Roll Cleanses (Address) Additional tasks, including forms to pull and address points.	Roll Cleanses (Person) Roll Cleanses (Address) Additional tasks, including forms to pull and address points.	Roll Cleanses (Person) Roll Cleanses (Address) Additional tasks, including forms to pull and address points.
Quality Assurance	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change	TSRs QA Reviews (20%) Review: Māori decent and roll type change
Security	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access	MIKE User Access: * Required for role * Offboarding * Unpublished access
Audit	Spot Audit – access to personal information	Management Audit			Management Audit		Spot Audit – access to personal information	Management Audit TSR automation decision audit	SVD decision audit		Management Audit	
Reporting	Report for ELT and The Board Assurance Report to Director	Assurance Report to Director	Assurance Report to Director	Report for ELT and The Board Assurance Report to Director	Assurance Report to Director	Assurance Report to Director Risk Profile Update	Report for ELT and The Board Assurance Report to Director	Assurance Report to Director	Assurance Report to Director Risk Profile Update	Report for ELT and The Board Assurance Report to Director	Assurance Report to Director	Assurance Report to Director Risk Profile Update

Enrolment Report - August 2024

[redacted]

ENROLMENT PROCESSING - INTEGRITY AND ASSURANCE

Out of scope

Enrolment validation and accuracy processes and procedures have been completed as required. The elector roll cleanses identified 119 anomalies, each entry includes 2 or more elector records depending on the roll cleanse type, this generated 245 checks. Of that number 85 were corrected. This compares to 194 In July 2024.

The address roll cleanses identified 241 anomalies. This is up on last month's 174 anomalies. Two electorates, Ōtaki and Mana, had major increases due to the name change of Main Road South/North that runs through both electorates.

The internal audit/monitoring process introduced in July 2024 continues monthly. The August 2024 results are on page 2. This is essentially an internal audit, based on a random selection of enrolments processed within that month, to ensure they have been processed accurately and that an error has not impacted a person's voting rights. At this time, it is felt that more data is needed to be able to identify potentially systemic issues and consider it would be beneficial to continue the pilot for another couple of months before providing a full report and recommendations moving forward.

A new Postal Address file (PAF) has been uploaded into the MIKE system. This has increased the address accuracy level to 98.37% (98.30% for July).

ROLL INTEGRITY AND ASSURANCE INITIATIVES

Initiative	Description	status
Address roll cleanse dashboard	Summary of results of 2 current monthly roll cleanse reports. Investigate how LINZ Stories, unofficial and unassigned (194) meshblocks impact dashboard	Scoping
Review of data exception and monitoring reports	These reports are provided to the Enrolment Leadership Team to monitor workflow. Review current reports relevance, purpose and identify gaps	In progress
Internal audit/monitoring process and reporting	Internal check for enrolment transactions, monitoring and reporting capability. Update provided in this report	In progress
New data validation reports	Develop specific data validation checks for overwritten electors and merged electors.	scoping
Chain of Custody	Develop secure processes where IT and BE can use live data/forms for training and testing	Completed

INTERNAL AUDIT/MONITORING PILOT

Purpose

1. To assess the accuracy and validity of transactions processed during THE reporting period
2. To assess correct procedures have been followed

Methodology

Senior Enrolment Officers (SEOs) allocate electorates to Electoral Officers (EO) for checking. Each EO will check a minimum of 10 transactions per electorate for accuracy and validity. They will ensure the correct process was undertaken and identify any potential gaps in processes, or any errors that were not picked up and corrected at TSR. They *do not* check their own work. A second level check is undertaken by the SEO and Advisor Enrolment Integrity to ensure the audit checks have been undertaken correctly.

Measures

Each enrolment audited graded against the following "traffic light" criteria:

Accurate	No Action required
Minor	Roll maintenance issue Found in Audit and corrected
Medium	Non-Mandatory field error Mandatory field that does **not** impact voting rights Found in Audit and corrected
Major	Mandatory field that impact voting rights Found in Audit and corrected

Timing

Checks are undertaken between 1st to 28th of the reporting month. This is aligned with the current roll cleanses process

Accountability and Reporting

The process is supported by the SEOs to ensure a wide range of transactions are audited for that period. SEOs address minor roll maintenance and procedural compliance. If there appears to be a systemic roll maintenance or procedural compliance issue with an individual, the SEO will provide a summary to the appropriate Team Leader. Team Leaders address Medium and Major processing issues directly with the people who processed the application and TSRd it.

Where a major error is identified an online Enrolment Incident report is completed to determine the root cause of the problem and any further training or performance requirements.

Results Summary for August 2024

Month	# Transactions	Total checks undertaken	# Accurate	Minor	Medium	Major	Accuracy rate	Validity rate
July	20,835	1440	1424	4	12	0	98%	100%
August	12,790	720	710	5	5	0	98%	100%
	33,625	2160	2134	9	17	0	98%	100%

The pilot has been going for two months, and we intend to extend it for another two. This will allow us more time to identify potential improvements and to allow for the build-up of data that will assist in identifying systemic issues across enrolment.

Out of scope

[redacted]

Enrolment Data Quality and Integrity Assurance Plan

February 2026

Version 3.0

Document Purpose

The Data Quality and Integrity Assurance Plan is a deliverable for the GE2026 Enrolment Data Integrity and Assurance project. The plan is intended to provide confidence and assurance in what needs to be monitored, or detected and corrected, to ensure that data quality requirements are being met, and the electoral roll is accurate and available when needed. This document will be used as a template for development of the 2026 Data Quality Integrity and Assurance Plan by the Enrolment team.

Document History

Version	Issue date	Changes
0.1	28 April 2025	Initial draft
0.2	14 May 2025	Reviewed by Principal Advisor Enrolment
0.3	20 May 2025	Reviewed by Advisor Enrolment Integrity
0.4	29 May 2025	Updated draft for review
0.5	16 June 2025	Review by IT and Data and Insights
1.0	1 July 2025	Final for approval
2.0	24 September 2025	Document review by Risk and Assurance team. *Appendix B – Data Validation and Exception Checks*, *Appendix C – Data Quality and Integrity Assurance Plan (including MEO and GE 26)*, and *Appendix D – Enrolment Assurance lines of defence* added
3.0	2 February 2026	Updated with feedback from DCE Enterprise Services

Document Review

Name	Position	Version
Daphne s9(2)(a)	Advisor Enrolment Integrity	0.3,0.4, 2.0,3.0
Justin McCready	Principal Advisor Enrolment	0.2,0.4
Debbie [redacted]	Business Analyst	0.1,0.4
Ross [redacted]	Director Enrolment	1.0
Jeff [redacted]	Principal Advisor Risk and Assurance	0.4
Jeff [redacted]	Senior Systems Specialist, Information Technology	0.5
Dimitry [redacted]	Senior Advisor Data and Insights	0.5

Document Sign-off

Name / Position	Signature	Date	Version
Nicola Hogg, Director Enrolment (Workstream Lead)		02 Feb 2026	V3.0
Lucy Brader, DCE Enterprise Services (Workstream Owner)		18 Feb 2026	V3.0

ELECTORAL COMMISSION
TE KAITIAKI TAKE KŌWHIRI

Reference Documents

Document
Quality Assurance and Control Manual 2022

Table of Contents

1. Introduction

The Data Quality and Integrity Assurance Plan (DQIAP) outlines the strategies and practices to maintain enrolment data quality and integrity throughout its lifecycle. The goal is to ensure that data remains accurate, valid, complete, and secure, supporting enrolment operations, post-election processes, analytics, and decision-making.

2. Objectives

The objectives of the DQIAP are to:

- Ensure the accuracy, consistency, completeness, validity, and timeliness of data.
- Identify potential risks to data quality and integrity and mitigate them through manual and system processes and controls.
- Apply assurance processes to ensure controls are effective.
- Protect data from unauthorised access or modification, ensuring its integrity.
- Prevent data errors and inconsistencies across systems.
- Establish clear roles, responsibilities and metrics for monitoring and maintaining data quality.
- Foster a culture of continuous improvement for data quality across the Enrolment business unit.
- Ensure compliance with legal, regulatory and enterprise requirements related to data management.
- Provide clear pathways for escalation when required.

3. Scope

The DQIAP applies to:

- All systems and applications used for directly collecting and storing data necessary to produce published and unpublished electoral rolls and validate an elector's vote following an election cycle.
- Data entry, modification, transfer, storage, and retrieval activities.
- Structured and unstructured data (personal information, transaction records, system logs).
- Assurance of controls across all Enrolment core functions and tasks that may impact data quality.
- To ensure that enrolment functions undertaken by other business units (such as Strategic Engagement and Partnership (SEP) or voting places) meet acceptable Quality Assurance (QA) standards.

4. Foundational Documents

To guide and frame Data Integrity and Assurance activities, several key artefacts are typically used. These artefacts help ensure that data is accurate, consistent, secure, and trustworthy throughout its lifecycle. Here are some of the most common and important ones:

4.1. Roll Integrity and Assurance Landscape

- The Commission has a varied and comprehensive roll integrity and assurance landscape, built on the four pillars of security, validity, accuracy, and completeness.
- This Roll Integrity and Assurance Landscape has contributed to an electoral roll of high integrity, that is trusted as a reliable foundation of New Zealand's electoral system.

4.2. Quality Assurance and Control manual (2022)

- This manual outlines the Quality Assurance and Controls processes currently being applied during enrolment form processing and checks against data stored in the MIKE system
- Quality Assurance and Quality Control are both different from each other and required as part of quality management.
- They should not be misunderstood as interchangeable terms. Quality Assurance is process focused while Quality Control is end-product focused.

4.3. Risk and Controls – Enrolment Data

- The Advisor Enrolment Integrity is responsible for the overall maintenance and currency of the Risk and Control Register of all Enrolment processes. This register details the process risks and controls for managing data integrity and ensuring compliance with data quality standards.
- This is a working document that allows the user to manage triggers and risks and identify any controls or processes that need to be reviewed.
- The DQIAP is designed to test the effectiveness of the controls to manage the process related risks.

5. Data Quality Dimensions

The following data quality dimensions are tested to provide assurance that roll data is suitable for use and that it is reliable for decision-making.

- **Accuracy:** data is accurate as provided by the elector and matches source documentation as defined by section 83 of the Electoral Act 1993 (the Act).

- **Completeness:** documentation includes all mandatory fields that impacts a person's voting rights, the public right to inspect the electoral roll and Elector Enquiry update campaign.
- **Validity:** mechanisms are in place to ensure only those eligible to be enrolled are included on the electoral roll. Every record represents a valid Enrolment and where a person no longer qualifies, they are removed.
- **Security:** maintaining the security of documentation and ensuring access to data is compliant with the Electoral and Privacy Acts, and any Commission policies, and access is limited to those who have a business need. An independent certification and accreditation of IT systems is undertaken prior to an event.

6. Roles and Responsibilities

The following roles give effect to the DQIAP:

Director, Enrolment	Oversees data management policies and processes that ensure the quality, security, and availability of enrolment data. Oversees data stewardship to ensure that there is effective day-to-day management and maintenance of enrolment data that adheres to policies and standards. Monitors risks and escalates issues which have significant impact on data quality and data integrity.
Manager, Applications	Ensures data security, backups, and system integrity.
Team Leaders and Senior Enrolment Officers	Maintain data accuracy and consistency and address data quality performance issues.
Advisor, Enrolment Integrity	Monitors and enforces data quality standards, conducts audits, reviews, and maintains enrolment processes. Performs and reports on data quality assurance Escalates issues which have significant impact on data quality, data integrity or an individual voting rights. Provides advice on operational and strategic issues affecting roll data integrity.
Data and Insights	Maintain dashboards.
Operations, Risk and Assurance	Specialist Advice
Strategy, Governance & Development	Independent Assurance, Monitoring effectiveness of controls

7. Data Integrity Assurance

To protect data integrity, the following measures are in place:

Data validation	Automated data validation rules to check data accuracy and consistency at the point of entry.
Access control	Access to data controlled via RBAC and monitored for unauthorised access or misuse.
Audit trails	Comprehensive logs of data access, modifications and deletions for traceability is maintained.
Data encryption	Data is encrypted both at rest and during transmission to prevent unauthorised access or tampering.
Data Backup	Regular backups for critical data to prevent data loss, with clear data recovery protocols in place.
Error Handling	Procedures for identifying and rectifying incorrect data entries.
Enrolment Compliance Monitoring	Reviews to monitor adherence to relevant electoral legislation, policies, and procedures.

8. Assurance Reporting

A monthly review of scheduled controls giving assurance and evidence that controls are sufficient and appropriate, and where there is evidence that they are not, an action plan will be provided to refine the current control(s) or introduce a new control(s).

The Advisor Enrolment Integrity is responsible for providing the monthly assurance report to the Director Enrolment. A summary will be provided quarterly to ELT and the Board.

Enrolment will also operate several assurance dashboards that will be available to Team Leaders and Managers across the organisation to have near real time visibility of assurance activities and results. These dashboards are key inputs into the monthly Assurance Report.

9. Schedule of Data Assurance Activities

The activities undertaken to maintain data quality are outlined in Appendix A – Summary of Assurance Activities.

To ensure there is appropriate oversight we are utilizing four lines of defence outlined in Appendix D - Enrolment Assurance lines of defence. The Advisor Enrolment Integrity focuses on the first line of defence.

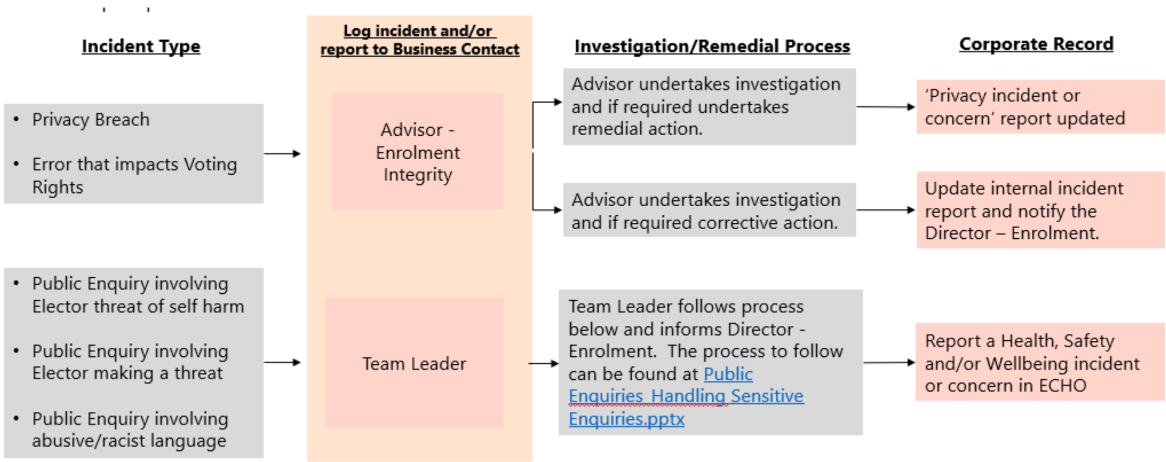
The Advisor Enrolment Integrity is responsible for:

- Developing and maintaining an annual schedule of the assurance activities outlined in Appendix A, covering the period October 2025 until after General Election 2026.
- Ensuring that the scheduled activities for testing the effectiveness of data integrity and assurance controls are carried out as planned.
- Maintaining accurate records of all completed activities, including dates and outcomes, to support transparency and continuous improvement.

10. Escalation, Feedback and Reporting Pathways

To ensure we are identifying, investigating, remediating, and recording operational incidents promptly is essential for protecting both **electors** and the **organisation**. This process ensures transparency, accountability, and continuous improvement in operational integrity.

Enrolment's data integrity escalation pathway:



11. Continuous Improvement

The DQIAP is reviewed and updated regularly through:

- Review Feedback: Corrective action to resolve data quality issues
- Performance Metrics: Tracking data quality KPIs
- Training: Building data literacy around enrolment data
- Technology improvements: Leveraging new tools for enhancing data quality and reducing manual tasks.
- Data Integrity and Assurance Landscape Heatmap: Use heatmap to guide areas for improvement.

Appendix A – Summary of Assurance Activities

This summary defines the testing and review activity that gives effect to the DQIAP.

Activity	Frequency	TYPE	Responsible for ensuring activity is done	Description
Automated Data Validation Checks	Monthly	Data Validation	Advisor Enrolment Integrity Team Leaders	IT run people and address scripts to check for missing, duplicate, or inconsistent data **See Appendix B – Data Validation and Exception Checks**
Manual Transaction Status Review (TSR)	Every manual record	Quality Assurance	Enrolment Processing Officers Senior Enrolment Officers	Review manually entered data for errors and inconsistencies
Internal Quality Assurance Reviews (QAR) BAU	Monthly	Quality Assurance	Team Leaders Advisor Enrolment Integrity	An automated report containing 20% of transactions from the previous months 10% check by Enrolment Processing Officers 10% provided to Advisor Enrolment Integrity for spot checks
Internal Quality Assurance Reviews (QAR) Event	Daily (during event)	Quality Assurance	Team Leaders Advisor Enrolment Integrity	An automated report containing 20% of transactions from the previous months - a time period is assigned to staff where they focus on QA and achieve a minimum of 5000 checks. This will be validated before the start of Māori electoral Option and then again for GE Enrolment update campaign. Separate QA plan for Event e.g. MEO focus on roll type changes
Batch checks	Weekly (during event)	Quality Assurance	Advisor Enrolment Integrity	Manually check 10% of forms within each batch to ensure correctly processed (e.g. Māori descent and/or roll type change have been actioned correctly or why RO9's have been returned)
MIKE User Access Review	Monthly	Security	Advisor Enrolment Integrity	Audit user permissions and ensure access controls are correctly applied.

Activity	Frequency	TYPE	Responsible for ensuring activity is done	Description
Special Vote Declaration (SVD) decision Audit	Event specific	Audit	Advisor Enrolment Integrity	Test SVD decisions and provides assurance the MIKE system is producing the correct result
Internal Audit	Quarterly	Audit	Advisor Enrolment Integrity/Risk and Assurance team	Working with the Risk and Assurance team to review and undertake a deep dive on operational tasks/process to ensure appropriate controls in place and they are working. Will be driven by the internal QAR undertaken by Advisor, Enrolment Integrity.
Quality Assurance of MIKE release	Migration release	Audit	Advisor Enrolment Integrity	Ensure release is acting as expected in live environment
Data Integrity and Assurance Landscape Review	Six monthly	Reporting	Advisor Enrolment Integrity	Validate that the landscape and maturity heat map remain correct.
Assurance reporting	Monthly	Reporting	Advisor Enrolment Integrity	Gives assurance across all Enrolment controls, that they are working appropriately (to Director)
Management Reporting	Quarterly (reviewed every 6 months)	Reporting	Advisor Enrolment Integrity	Report to ELT and the Board confirming assurance activities, work position and insights.

Appendix B – Data Validation and Exception Checks

Roll Cleanses	Description
RC1	Lists street/road addresses that are not on the Statistics NZ Meshblock/Streets file that electorate. Generally it highlights double spacing in the Street Name, wrong spelling or Street type etc
RC1A	Lists unofficial and unknown Address points which may be able to be allocated to an official meshblock.
LINZ stories	LINZ provide split/nudge of meshblocks
RC8	Lists electors residing at the same Address with the same first Forename and same Surname but different Date of Birth.
RC9	Lists electors with the same Date of Birth, residing at the same Address point.
DOB Change Report	Lists Date of Birth changes keyed in a specified period.
ER39	Lists electors with the same Date of Birth, Surname and first letter of the First Name(s).
Merged electors	This report lists electors who have been merged where at least one of the following fields are different and has not been marked as a non-duplicate.

Data Exception Checks	Description
Excessive IP searches	External user searches via Elector Search on website more than usual activity
80+ year olds – new to roll	DOB check as this is unusual but legitimate in some cases.
80+ year olds – not retired	DOB and Occupation check as unusual not to be retired when 80+.
TSR and keyer the same	TSR should be performed by someone other than the keyer.
Keyer trans No/type	All transactions keyed by electorate
First and Last Transaction	First and last key stroke
Imaging Enquiries Queue	Entries waiting to be actioned more than 5 days
Imaging TSR waiting to check	Images waiting to be clear from TSR queue
Imaging scanning efforts	How many images remaining in queue
Need address point report	Address point Report not been extracted in more than 5 days
Elector over 120+ years	Check for mistyped DOB
18+ on Provisional Roll	All persons on Provisional Roll must but under 18 years old
Address update reason invalid	When changing address, only certain update reason codes are valid
Address not on boundaries	Address points not aligned to Electorates
Person not on boundaries	Person linked to an address that is not aligned to an Electorate

Appendix C – Data Quality and Integrity Assurance Plan (including MEO and GE 26)

						Māori Electoral Option			EUC Campaign				
	November	December	January	February	March	April	May	June	July	August	September	October	November
Data Validation	Person Roll Cleanses	Person Roll Cleanses	Person Roll Cleanses	Person Roll Cleanses	2 x weekly Person Roll Cleanses	2 x weekly Person Roll Cleanses	2 x weekly Person Roll Cleanses	2 x weekly Person Roll Cleanses	2 x weekly Person Roll Cleanses	2 x weekly Person Roll Cleanses	2 x weekly Person Roll Cleanses	2 x weekly Person Roll Cleanses	2 x weekly Person Roll Cleanses
	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses	Address Roll Cleanses
Quality Assurance	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily	TSR - daily
	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)	QA review (20%)
	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD	Review of MD
	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change	Roll type change
Security	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access	MIKE user access
	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile	MIKE profile
	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding	Offboarding
	Unpub access	Unpub acces	Unpub acces	Unpub acces	Unpub acces	Unpub acces	Unpub acces	Unpub acces	Unpub acces	Unpub acces	Unpub acces	Unpub acces	Unpub acces
Audit	Internal Audit			Internal Audit			Internal Audit			Internal Audit			
				QA of Auto-update queue	QA of Auto-update queue	QA of Auto-update queue		SVD decision Aduit					
	Review of QA migration	Review of EAB & QA migration		Review of QA migration	Review of migration								
Reporting	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment	Q&A Report Director Enrolment
			ELT and Board Report			ELT and Board Report			ELT and Board Report			ELT and Board Report	
					Risk Profile Update			Risk Profile Update					Risk Profile Update

Appendix D – Enrolment Assurance lines of defence