

CHAPTER 18 – DUAL VOTES INVESTIGATIONS & POST-WRIT PROCESSES

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1 INTRODUCTION

1.1 INTRODUCTION

A key part of the scrutiny process is identifying, investigating, and processing any potential cases where an elector has:

- Been marked off the roll more than once
- Changed electorate between Writ Day and Election Day, or
- Been removed from the roll between Writ Day and Election Day.

1.2 WORKSTREAMS

Each instance triggers a different response, as outlined in the table below.

Electors who have...	Trigger a...	Reason
Been marked off the master roll more than once	Dual vote investigation	It is illegal to vote more than once, so each apparent dual vote must be investigated. If your team finds that a dual vote has occurred, you will send the documentation to National Office, who may refer the case to the police.
Changed electorate	Post-writ Transfer change	Electors who move electorate before Election Day and vote in their old electorate have voted in the wrong electorate. Their candidate vote does not count, but their party vote does.
Voted in a different electorate for which they are enrolled		Their vote is included in the party vote only count.
Been removed from the roll	Post-writ Deletion change	Voters can be removed from the roll for a number of reasons. For example, they died before Election Day. The vote is removed from the official count.

The investigation of dual votes and post-writ changes follow different processes. Dual votes investigations are more complex and time-consuming, while post-writ changes are relatively straight-forward. Each activity has its own ERSAs report and Master Form, to enable quicker processing and easier task delegation.

1.3 TIGHT TIMEFRAMES

You should finish the majority of investigations by Friday E+6, with the remaining cases finished by 10am Monday E+9. This is to enable the extraction of ordinary votes from the official count to occur on Monday E+9.

Investigating timeframes are challenging because the final cases will not appear until all special voters have been marked off. This may mean cases appearing on Friday E+6 or even Monday E+9.

Cases that appear towards the end of the week provide you with limited time to investigate. Therefore you should have extra resource available on these days to assist the dual vote team.

1.4 OBJECTIVES

By the end of this chapter, you will understand the:

- Difference between dual votes and post-writ changes
- Tools at your disposal for dual votes investigations
- Serious and sensitive nature of this work, and
- Processes for dual votes investigations and post-writ changes

1.5 TIMING

The table below outlines the timing of key scrutiny activities.

Activity	Start	End
Start apparent dual vote investigations	Monday E+2	Friday E+6
Start processing post-writ changes	Monday E+2	Friday E+6
Finalise outcomes of all dual vote cases	Tuesday E+3	Friday E+6
Finalise all post-writ changes	Friday E+6	Monday E+9
Prepare a list of all ballot papers to be extracted from the official count	Friday E+6	Monday E+9, 10 am

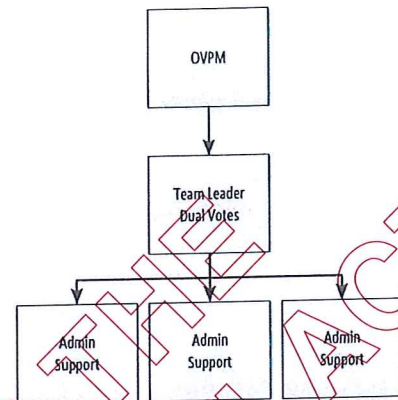
1.6 TEAM STRUCTURE

One team will investigate dual votes and process post-writ changes.

The activities are managed by the Ordinary Vote Processing Manager (OVPM), who also oversees roll scanning. It is likely that this role is one of your HQ managers.

To support the Ordinary Vote Processing Manager, you will need a team consisting of a Team Leader and 3 administrative support staff.

You may need to increase or decrease the number of administrative support staff depending on the number of dual votes and post-writ changes identified.



Role	Responsible for
Returning Officer	<ul style="list-style-type: none"> • Sign-off of dual vote investigations
Ordinary Vote Processing Manager	<ul style="list-style-type: none"> • Manage overall process to ensure deadlines are met • Co-ordinate between official count and special vote processing teams
Team Leader	<ul style="list-style-type: none"> • Run ERSA reports • Undertake investigations • Direct Administrative Support Staff • Ensure ERSA is updated to reflect outcome of investigations / processes <p>Note: The Team Leader must be able to use Microsoft Excel with confidence.</p>
Administrative Support Staff	<ul style="list-style-type: none"> • Search for ballot stubs • Assist with investigations

1.7 RESOURCES

Below is a list of the items you will need to complete scrutiny.

Process	Resources	Quantity	Provided by
Dual Votes	M71 Master Forms	5 sets then print as needed	ECHO
	EMS Voting Place Details Report		Headquarters
	Pre-printed box labels	1 set	National Office
	E208 filing boxes	6	Headquarters
Post-writ	M72 Master Form	20 then print as needed	ECHO
General	Laptop		Headquarters
	Access to telephone		
	Folders		
	General stationery		

1.8 CHECKLIST

Use this checklist to ensure that you are on track with scrutiny activities.

When	Task	E+1	E+2	E+3	E+4	E+5	E+6	E+9	E+10
	Run the 'Apparent Dual Vote' report		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Run the 'Post-writ changes' report		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Find ballot stubs relating to post-writs changes		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	Review dual vote investigation in 'RO Sign-off' box			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Find ballot stubs for confirmed ordinary dual votes			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Prepare the Ballot Paper extract list for confirm duals and post-writ changes						<input type="checkbox"/>	<input type="checkbox"/>	
	Run the 'Not on Roll' report						<input type="checkbox"/>	<input type="checkbox"/>	
	Run the 'Final Dual Voter Report'								<input type="checkbox"/>
	Prepare and file investigations with dual vote as an outcome for returned to National Office								<input type="checkbox"/>
	File all non-dual vote investigations and post-writ changes in an E-206 Clerk box								<input type="checkbox"/>
	Complete the EMS task confirmation								<input type="checkbox"/>

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2 DUAL VOTES INTRODUCTION

2.1 HOW COULD A DUAL VOTE OCCUR?

All instances of a dual vote are treated as an apparent dual vote until you are satisfied that a defensible outcome has been reached. An apparent dual vote could occur because:

- A voter has deliberately cast two or more votes
- A person has voted in the name of another person (personation)
- A voter forgot that they had voted in advance and voted again on Election Day
- A voter was unaware that they could only vote once
- An Issuing Officer marked the wrong person off the roll (clerical error)
- ERSA has accidentally picked up a mark and marked the voter off the master roll (OMR error)
- A voter was 'questioned' at a voting place because an issuing officer or scrutineer suspected them of already voting. **Note:** see section 2.3.

2.1 COMMON CAUSE OF APPARENT DUAL VOTES

Experience from previous elections suggests that the vast majority of apparent dual vote cases are a result of clerical error by an Issuing Officer marking the wrong person off the roll.

This could have occurred because there was a similar named voter on the line above or below the voter, or a non-enrolled elector with the same name voted and the Issuing Officer did not check the address details.

2.2 ASSISTING THE MĀORI RETURNING OFFICER

Investigating dual votes is a difficult process. This is made even harder for Māori electorate Returning Officers due to the voting materials not being in a single location.

It is essential that General electorate Returning Officers assist the Māori electorate Returning Officers by allocating staff to investigate any cases referred to them in a timely manner. Given that the Official Count of Māori electorate votes occurs first, priority should be given to investigating these apparent dual votes. Māori electorate Returning Officers will advise you if a ballot paper or special vote needs to be extracted from the official count.

2.3 QUESTIONED VOTES

In the case of a 'questioned' vote, the voter must answer in writing, questions posed to them using the M30-Q to confirm whether they have already voted at the 2017 General Election. All M30-Q forms are stored in the Envelope P5 and returned to headquarters with AVP/VP supplies. For cases where the voter was already marked-off the roll at the voting place, the second ballot paper will also be returned in the Envelope P5. The P5 envelopes are checked as part of the Sunday sort process so any questioned votes will be given to you. Refer all questioned votes (M30-Q) to the EC HelpDesk – Voting Services.

3 DUAL VOTE INVESTIGATION TOOLKIT

3.1 INTRODUCTION

When investigating an apparent dual vote there are a number of tools available to you. This section outlines those tools.

3.2 FILING SYSTEM

A filing system is crucial to a successful dual vote investigation process. You will have investigations at various stages of the process, keeping them correctly filed will make it easier to track and manage where you are up to.

A set of pre-printed box labels have been provided so that you can set-up filing system as follows:

Box no.	Box name	Contents
1	Apparent Dual Votes	Initial check/cleanse and details of M71-INVEST form completed.
2	Under Investigation	Case is under investigation.
3	RO Sign-Off	Case is awaiting RO decision and sign-off
4	RO Returned	Case has been signed off by the RO
5	Clerk of the House	Cases where the outcome was clerical or system error, or the investigation concluded were not the result of dual voting
6	Dual Votes for National Office	Cases where the outcome was dual vote or personation

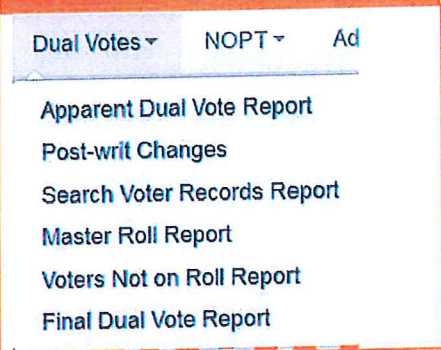
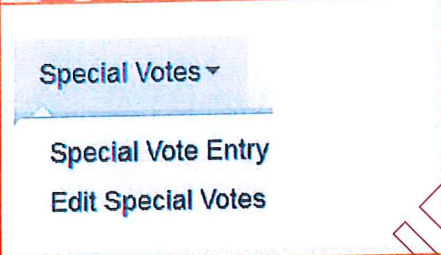
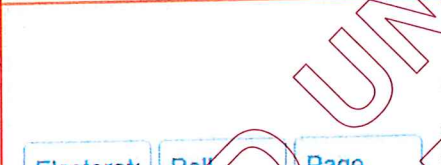

3.3 ERSA

The Electronic Roll Scrutiny Application (ERSA) is the core system that you will use for investigating apparent dual votes.

ERSA holds a copy of the writ-day roll (the printed roll used at voting places) for your electorate, plus any changes to that roll since writ-day, 23 August. Post writ-day changes are added after 5.30pm on Sunday E+1, Monday E+2, and Wednesday E+4.

As voting place rolls are scanned and special votes marked-off, ERSA records this information to create the master roll. Through the ERSA menu you can:

- Access the dual vote reports
- View roll markings to determine if a clerical error has been made
- Alter the status of an ordinary or special vote from 'allowed' to 'dual vote' or 'clerical / OMR error'.

Menu		To access
Dual Vote Reports		<p>Clicking on the Dual Vote tab in the top menu will bring up a drop-down box with a list of the reports.</p>
Edit Special Votes		<p>Clicking on the Special Vote tab in the top menu and then Edit Special Votes will take you to a search engine to locate and either :</p> <ul style="list-style-type: none"> • Change the status of a special vote, or • Or delete the vote if required.
Edit Ordinary Votes		<p>Entering the Electorate, Roll and Page numbers will take you to an image of the roll page.</p>
View roll markings		<p>From here you can check, and if necessary, change the status of an ordinary vote.</p>

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3.4 ERSA – APPARENT DUAL VOTE REPORT

This is the primary report for identifying cases of apparent dual voting. As votes are recorded on the master roll, any elector that has two or more recorded 'allowed' votes will appear on this report for you to investigate.

When you run the report it will open up in Excel and each case that needs to be investigated will be displayed as shown below:

Case ID	Roll ID	Surname	First Names	Address	Status	Type	Roll/SV Batch	Page	Line	Issuing Point	E#	Electorate	AE#	Allocated Electorate
1	45704072	Hawkeye	Ben Franklin	3 Quest Terrace	Allowed	SV	28077	92	42	42		28 Mt Roskill		
1	45704072	Hawkeye	Ben Franklin	3 Quest Terrace	Allowed	Roll	4	92	42	28004	28	Mt Roskill	28	Mt Roskill

Column	Information
Case ID	As cases of apparent dual votes are identified (nationally) they will be given a case number. The report will display the cases to be investigated from lowest to highest case number. All new cases will appear at the bottom of the list
Roll ID	A number given to the elector for the purpose of conducting the election
Name and Address	Name and address details as shown on the printed roll
Status	All votes showing on this report will have a status of 'allowed'. That means they will currently be included in the official count
Type	Indicates the type of vote cast, either ordinary (roll) or special (SV)
Roll/SV Batch	Indicates the roll number or special batch number where the voter has been marked off. SV Batches are 5 digits.
Page/Line	Indicates where the voter can be found on the roll
Issuing Point*	Indicates which issuing officer issued the vote. Primarily this is for ordinary votes so when searching for a ballot stub you can narrow the search to pads used by that issuing officer
Electorate	Indicates the electorate that issued the vote. For ordinary votes this is also shown by the first two digits of the issuing point number
Allocated Electorate	Indicates the electorate that has the physical copy of the roll

*Note: Excel drops the leading zero for single digit electorate numbers (i.e. Auckland Central issuing point 01123 will become 1123).

3.5 ERSAs - SEARCH VOTER RECORD REPORT

This report and the master roll report, enables you to see whether an elector has voted and if so, where they voted. This information is constantly being updated as rolls are scanned and special vote declarations are marked off. You will not know definitely whether an elector has voted or not until all voting place rolls and special votes have been processed.

Use this report to determine whether an apparent dual vote was due to the wrong person being marked off the roll. This can happen if a similar named person is just above or below the elector in question on the roll. You can also use the report to see where electors from the same household voted.

In this report you can either search by:

- Specific page and line on the roll, or
- An elector's name.

3.6 ERSAs – MASTER ROLL REPORT

The master roll report is used to create the final record of who voted during the election.

You will use it to look at individual roll pages to see all the electors and whether they have voted (see Section 10.1 for information on the master roll). Note electors added to the roll after Writ Day are shown at the end of the master roll.

You can use this in conjunction with the 'Search Voter Records' report to see if a person voted.

3.7 EMS VOTING PLACE DETAILS REPORT

Use this report to complete the M71-INVEST by linking issuing points to a voting place.

3.8 ERSAs – FINAL DUAL VOTE REPORT

This report displays all the cases where you have determined that dual voting has occurred. That is where you have changed the vote status from 'allowed' to 'dual vote'.

You will run this report after you have completed all your investigations and submit it with the investigation files to the Commission for potential referral to the NZ Police.

3.9 VOTING PLACE MAPPING

You can use mapping software to determine how far voting places are away from each other and the electors address on the roll. This can be useful to determine whether it is probable that the elector travelled the distance between the two voting places to vote twice.

You have two options for looking at voting places:

- The Commission’s web-map on the ECHO under ‘electorate information’ shows voting place locations, or
- Google maps and type in the address you wish to view.

3.10 ERSAs - VOTERS NOT ON THE ROLL REPORT

This report relates to electors that cast a special vote. Some of the electors who cast a special vote for your electorate may not be on the roll for your electorate. When the Registrar provided their qualification decision they will also require that the electors details are entered on the ‘not on roll’ report.

As these voters are not in your electorate they can’t be marked off your roll, so won’t appear in the ‘Apparent Dual Vote’ report. You will need to check the ‘Voters Not on Roll’ report for any voters whose name appears than once. If this occurs you will need to investigate. These cases are easier to investigate as they relate to special votes, so you will just need to get both declarations and compare details and signatures.

3.11 MASTER FORMS

The table below identifies all the scrutiny Master Forms that are used in dual vote investigations. All of these Master Forms can be found on ECHO.

Form name	M number
Dual Votes Investigation	M71-INVEST
Contacting a witness	M71-WITNESS
Contacting an apparent non-voter	M71-NONVOTER
Contacting an apparent dual voter	M71- APPDUAL

4 THE INVESTIGATION

4.1 POSSIBLE OUTCOMES

There are three possible outcomes of a dual vote investigation:

- That it was the result of clerical or system (OMR) error
- That the dual vote was due to personation and the identified voter was in no way concerned with the issuing of the additional vote(s)
- That the voter has unlawfully cast two or more votes.

4.2 PRINCIPLES AND LEGISLATION

Every apparent dual vote **must** be investigated and signed off by the Returning Officer, by the morning of Monday E+9, to enable the Ballot Paper extraction list to be created.

In investigating and deciding if a dual vote has occurred:

- You are not determining whether the votes were deliberately cast, but only whether the voter was issued two or more votes. For example, an elderly voter may vote at their bedside with an advance voting team, and then a family member takes them to vote on Election Day.

Unless you are satisfied that the voter hasn't voted twice, you must extract the votes. It is a significant step to disenfranchise the voter, so before doing so the Commission expectation is that a reasonable amount of effort will be undertaken to investigate.

When making a decision to allow the votes, as the Returning Officer:

- You do not have to prove who the second vote was issued to, but just have **confidence**, that the voter in question was only issued a single ballot paper.
- You need to decide based on the **balance of probability** what most likely happened.

4.3 CHIEF ELECTORAL OFFICER CONSIDERS DUAL VOTES

When the Returning Officer believes a dual vote has occurred it must be referred to the Chief Electoral Officer. The Chief Electoral Officer will then consider each case for referral to the New Zealand Police.

Due to the Commission referring cases of dual voting to the NZ Police and the subsequent legal implications, it is crucial that all parts of the investigation are correctly documented and attached to the file when it is returned to National Office.

4.4 LEGAL IMPLICATIONS

Deliberately voting more than once or voting in the name of another person is a criminal offence in New Zealand under S.215 of the Electoral Act 1993.

The maximum penalties on conviction of deliberately voting more than once or voting in the name of another person (personation) are:

- Up to one year in prison, and/or
- A fine of up to \$40,000, and
- Entry of the offender's name on the *Corrupt Practices List* for 3 years

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5 PROCESS OVERVIEW

5.1 TWO STAGED PROCESS

Dual vote investigations can be separated into two stages:

1. Bulk check and cleanse.
2. Investigation at an individual case level.

5.2 PART 1 – RUNNING THE APPARENT DUAL VOTE REPORT AND BULK CLEANSE

When you run the 'Apparent Dual Vote' report you should do a bulk cleanse as follows:

Step	Action	Why
1	<p>Quickly scan the report to see if multiple apparent dual votes relate to the same two rolls.</p> <p>Especially if you have a large volume of apparent dual votes</p>	<p>If a voting place roll has been scanned and uploaded twice, all the voters on that roll will show as apparent dual voters.</p> <p>If you suspect this has occurred contact the EC Helpdesk – Voting Services to investigate and fix.</p>
2	<p>Check each case where a voter has been marked off a voting place roll (ordinary vote)</p>	<p>Check to see whether it is a valid roll mark or clerical and OMR error (see Section 5.3).</p> <p>This will quickly eliminate some cases from further investigation.</p>



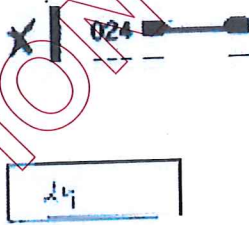
5.3 CHECKING FOR CLERICAL OR SYSTEM ERROR

Historically a majority of the apparent dual votes are the result of clerical error or OMR error.

Error type	Occurs when
Clerical Error	<p>An Issuing Officer:</p> <ul style="list-style-type: none"> • Mistakenly marks a voter off the roll and indicates this by writing the line number in the box at the bottom of the page and/or an x to the left of the vote markers. • Makes an accidental pen mark on the roll page
OMR Error	<ul style="list-style-type: none"> • When the rolls are printed, a mark (usually a small dot) is accidentally printed between the vote markers. • During scanning a piece of dust is picked up and scanned, usually leaving a long line down the page.

National Office has a team (NOPT) working from Election Day through to Wednesday E+4, which review any identified issues with the scanned roll images. This means in the time that you run the apparent dual vote report and look at a roll mark, if it was an error it may have already have been resolved. If it hasn't been resolved then you will need to follow the process on the next page.

When checking the roll mark, you are ultimately deciding whether the Issuing Officer meant to mark the person off the roll. To check a roll mark, follow the steps outlined in the following table.

Step	Task						
1	<p>In the ERSA enter the electorate, roll, and page number of the apparent dual vote you want to view into Go To function.</p> 						
2	<p>Find the line for the voter and check between the vote markers for a valid line mark. The image to the right is an example of a clearly marked-off voter.</p> 						
3	<p>Check the</p> <ul style="list-style-type: none"> • Margin beside the voter's name to see if there's an X. • An X indicates that the Issuing Officer mistakenly marked the voter off the roll. • Correction box at the bottom of the page. If the Issuing Officer has entered the voter's line number in the correction box, then the voter was mistakenly marked off the roll.  <p>If there is an X in the margin and/or line number in correction box: go to step 5 If there not: continue to step 4</p>						
4	<p>Judge whether the mark is caused by:</p> <ul style="list-style-type: none"> • Dust or dirt on the scanner (likely to be a line down the whole page), • A printing error on the roll (likely to be a small dot), or • An ink smudge. <p>If the mark was caused by dust, dirt, printing error, or smudge: continue to step 5 If not: go to step 6</p>						
5	<table border="1"> <thead> <tr> <th>If the mark was caused by...</th> <th>Then</th> </tr> </thead> <tbody> <tr> <td>Dust, dirt, printing error, smudge</td> <td>In the Status column click 'allowed' for the appropriate elector, then select OMR error.</td> </tr> <tr> <td>An X in the margin beside the voter's name and/or the voter's line number in the correction box</td> <td>In the Status column click 'allowed' for the appropriate elector, then select on clerical error.</td> </tr> </tbody> </table>	If the mark was caused by...	Then	Dust, dirt, printing error, smudge	In the Status column click 'allowed' for the appropriate elector, then select OMR error.	An X in the margin beside the voter's name and/or the voter's line number in the correction box	In the Status column click 'allowed' for the appropriate elector, then select on clerical error.
If the mark was caused by...	Then						
Dust, dirt, printing error, smudge	In the Status column click 'allowed' for the appropriate elector, then select OMR error.						
An X in the margin beside the voter's name and/or the voter's line number in the correction box	In the Status column click 'allowed' for the appropriate elector, then select on clerical error.						
6	<p>If you judge the mark to be valid, then print the roll page and attach to the file. The page will be printed on one side with the cover of the roll on the other side.</p>						

Remember between running the report and investigating an apparent dual vote mark, the National Office Processing Team (NOPT) may have already have fixed the issue.

5.4 PART 2 - CASE INVESTIGATION

After cleansing the report, you will need to investigate the remaining cases.

Clerical error is the usual cause of a dual vote. You should approach each case by trying to work out how a clerical error may have occurred.

5.5 WORKING OUT WHAT MOST LIKELY HAPPENED?

How you approach each case will depend on its characteristics, primarily based around:

- Whether the votes are ordinary or special,
- When the votes were cast (advance or Election Day), or
- Where the votes were cast – are they close to where the voter lives or may work.

You will need to ask yourself a series of questions and gather what information you can. The first step is to look for obvious pointers that a clerical error may have occurred. Ask yourself:

- Does the voter live close to both voting places? Was it likely that they travelled to both? Is one near a major transport hub – bus or train station
- If the voter does not live close to one of the voting places, check to see if someone lives close to it:
 - With a similar name, or
 - The line above or below on the roll
- If both votes were cast on Election Day, how far did the person have to travel? Is it likely someone travelled that far? How many other voting places did they pass?
- Did other members of the person's family / household vote? If so where?
- Is one a special vote, where the person had to sign? Is it likely that someone would falsely sign a declaration? Or has the wrong person been marked off for the special vote?

From these questions you can start to build a picture of what you think has occurred. Then using your toolkit you can search to see if an elector has voted, and if so where. Then you could decide to contact the apparent dual voter or a non-voter to see how/if they voted. Sections 5.6 to 5.9 provide you with some guidance on some of the next steps you may take.

5.6 USING YOUR JUDGEMENT

Inevitably there will be cases, especially those identified later in the week, where you:

- Do not have complete information (e.g. apparent non-voter / dual voter could not be contacted); and
- Need to weigh up the information gathered, including whether you think the person is credible.

When making a decision to allow the votes, as the Returning Officer, remember the principles:

- You do not have to prove who the second vote was issued to, but just have **confidence**, that the voter in question was only issued a single ballot paper.
- You need to decide based on the **balance of probability** what most likely happened.

If your decisions were subject to review under a Judicial Recount you must demonstrate that you have:

- Taken a logical approach to your decision, and
- Been consistent in your decision making.

5.7 CHECKING SPECIAL VOTE DECLARATIONS

This step is similar to the one performed during stage 1 – bulk cleanse. You want to check that the right elector has been electronically marked off the master roll. This will require you to get the declaration and envelope from the special votes processing team.

When you get the declaration and envelope it is important to keep it in a secure place as it holds the voters ballot paper.

Step	Task
1	Photocopy the M71-INVEST and provide the copy to the Team Leader Special Vote Processing to locate the declaration and envelope.
2	On receipt of the declaration and envelope, confirm that the right person has been marked off in ERSA. <i>If no:</i> give the declaration back to the Team Leader Special Vote Processing advise them that the wrong person has been marked off and ask them to amend ERSA <i>If Yes:</i> place the declaration in the case file

Note: check the declaration for any contact information for the voter. Enter any information onto the M71-INVEST form.

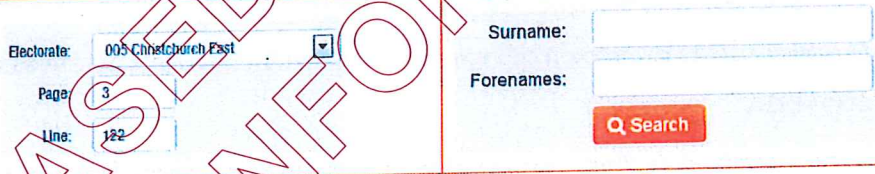
5.8 CONTACTING AVP AND VP STAFF

Occasionally it may be useful to contact the staff of the VP and/or AVP where the vote(s) were issued. Try to find out whether they remember anything about the person who cast the vote, i.e. was the voter acting in a manner that was out of the ordinary.

Step	Task
1	Use the Witness Statement (M71-WITNESS) form to guide and record the conversation. During the conversation, gather as much applicable information as you can.
2	When you have completed your witness interview(s) place in the investigation file.

5.9 IDENTIFYING APPARENT NON-VOTERS

The table below details the process for identifying apparent non-voters.

Step	Task
1	<p>Identify who could have been mistakenly marked off as the voter by:</p> <ul style="list-style-type: none"> Looking at the roll page Using the 'Search Voter Records' to search by name. This will show voters added on supplementary rolls since the voting place roll was printed.
2	<p>Look for voters that:</p> <ul style="list-style-type: none"> Have similar names Are just above or below on the roll page On the same line number, but on the opposite page Live near where one of the votes was cast Check the post-writ supplementary rolls on ECHO to see if a similar named voter moved out of your electorate
3	<p>In ERSA, from the menu select Reports, then Search Voter Records. You can search for the voter by:</p> <ul style="list-style-type: none"> Entering the electorate, page (3 digits) and line number (3 digits) for the voter you wish to search on, or Surname and/or forenames 
4	<p>The results of the search will now be displayed.</p>
5	<p>Record the details of any non-voter that you wish to contact on the M71-NONVOTER form</p>

5.10 VOTER CONTACT INFORMATION

The voter's roll address is shown on the roll in ERSA. However, unless they live locally to the headquarters it is likely that you will have to contact them by phone. It is becoming harder to find phone numbers as people switch to using their mobile phones rather than landlines.

You should attempt to find a phone number in the following order:

- If they cast a special vote check the declaration
- The online white pages
- Contact the EC Helpdesk – Voting Services

5.11 CONTACTING THE APPARENT NON-VOTERS OR APPARENT DUAL-VOTERS

Any apparent non-voter or dual voter is a member of the public that may have done nothing wrong. When contacting members of the public, you must:

- Act professionally
- Understand that they are under no obligation to answer your questions
- Understand that even where an offence has been committed it may not have been committed by the person marked off the roll
- Follow the script(s) provided. If you ask additional questions, record them on the back of the form or another piece of paper (ensure voter's name and the date and time are on any additional sheets)
- Record the details (using that person's own words where possible) on the relevant M71 Master Form

Occasionally a member of the public may ask to call you back to confirm that you are calling in an official capacity. If this occurs, give them the Returning Officer's name and the public phone number of the electorate headquarters and allow the person to call you back.

The table below details the process for contacting the apparent dual voter or non-voter.

Step	Task
1	Complete the information section details of the M71-APPDUAL or M71-NONVOTER
2	<p>Call the apparent dual-voter or non-voter and interview them using the questions on the form.</p> <p>If you ask extra questions, record the questions and the answers either on the back of the form or a separate piece of paper.</p> <p>It is important that you record what questions you ask in case the response to a question is required by Police.</p>

5.12 CHECKING THE VOTER NOT ON THE ROLL REPORT

As the Registrar returns qualification decisions for special votes, certain voters will need to be included on the 'Voters Not on Roll' report.

You will need to run the report and check to see if any voters are shown twice. If they are you will need to undertake an investigation. The investigation should be quick as it will just require locating the two special votes and checking the elector details and signature.

6 PREPARING FOR OFFICIAL COUNT

6.1 FINDING THE BALLOT PAPER STUBS

When an investigation is signed-off as dual voting or personation, you will need to find the Ballot Stub the ordinary vote was issued with. Only with the ballot stub number can you identify the ballot paper be extracted from the official count.

Locating the ballot paper stub can be a time-consuming process, especially for issuing points that issued a lot of votes. Be patient and methodical in your search for the right ballot paper stub.

Step	Task
1	Use the information from the M71-INVEST form to identify the voting place and issuing point for the vote
2	From the Envelope P3 for the voting place, locate the used and part-used ballot paper pads stamped by the Issuing Officer who issued the apparent dual vote.
3	<p>Check each ballot paper stub against the page and line number of the apparent dual voter.</p> <p>If you come across a stub for the line above or below the one you are looking for, it would be useful to place a marker in case you don't find the one you are after.</p>
4	If you find a matching ballot stub then photocopy the stub and attach it to the file.
5	<p>If you do not find the matching ballot stub, after checking all ballot pads for the voting place, then assume that the apparent dual vote was due to clerical error:</p> <ol style="list-style-type: none"> 1. Change the corresponding vote status in ERSA to clerical error. 2. Amend the M71-INVEST to say 'clerical error – no ballot stub found' 3. Have the Returning Officer initial the new outcome on the M71-INVEST



When looking for ballot stubs it is recommended that you have administrative support staff work in pairs.

6.2 CREATE THE ORDINARY BALLOT PAPER EXTRACTION LIST

After you have found all the ballot stubs for votes to be extracted from the official count, you need to prepare an extraction list.

The purpose of this list is to provide the extraction team with the ballot paper numbers required sorted by voting place. This means the team can look for multiple ballot papers at once.

Step	Action
1	Run the report 'Final Dual Vote' report.
2	In Excel, create a column titled 'Ballot Stub Number.'
3	For each vote to be extracted enter in the corresponding ballot stub number.
4	Now sort the report by roll / SV Batch number: <ol style="list-style-type: none"> 1. Select all the spreadsheet data, including headers 2. Select the 'Data' tab from the Excel menu ribbon 3. Select 'Sort' – the Sort dialog box will appear 4. In the Sort by column – select 'Roll / SV Batch' 5. Click 'Ok'
5	For each different roll number, enter the name and number of the voting place on the report.
6	Print the amended report.
7	Have the Ordinary Vote Processing Manager check the report to confirm that the ballot stub numbers and voting place information is correct
8	When the report is correct provide it to the extraction team along with each case file in report order. The extraction team will extract the ballot paper and adjust the official count. Once this is completed the file and ballot paper will be returned to you for filing and sending to National Office
9	For Māori electorate extraction lists, see step 9. <p>Māori electorate dual votes teams: You need to compile an extraction list of ballot papers for each general electorate that you need ballot papers extracted for:</p> <ol style="list-style-type: none"> 1. Email the list to the general electorate. 2. Call the general electorate to confirm receipt. 3. Upon confirmation of receipt, the responsibility for extraction falls on the general electorate. <p>General electorate dual votes teams: When you receive extraction lists from Māori electorates:</p> <ol style="list-style-type: none"> 1. Acknowledge receipt. 2. Print them out. 3. Provide them to the extraction team alongside your own extraction list.

On Monday morning (E+9) the Official Count Extraction Team will start looking for Ballot Papers. If you have not finished all dual vote investigations, look to see if there are any voting places where you have finished all the cases and provide this list to the team. This will enable them to start and provide you with some more time to complete any investigations.

6.3 EXTRACTING AND RETURNING SPECIAL VOTES TO THE OFFICIAL COUNT

Unlike ordinary votes, with special votes you have extracted the declaration and envelope as part of your investigation. If the investigation concludes it is the result of dual voting or impersonation then the declaration and envelope will be retained with the file and returned to National Office.

If the outcome was not a dual vote then you need to return the declaration and envelope to the special vote processing team so that it can be included in the official count. Do this by providing the declaration and envelope to the Special Vote Processing Manager and get them to return the copy of the M71-INVEST to you. This way there is no confusion where the special vote is located.

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7 RETURN OF DUAL VOTE INVESTIGATIONS TO NATIONAL OFFICE

7.1 THE FINAL DUAL VOTE REPORT

This report provides you with the list of cases where you have changed the vote status to 'dual vote'.

Use this report to ensure that all the investigations for review by National Office are returned.

Step	Action
1	Print the report.
2	Check that you have all the files and documents, including the ballot paper, relating to the cases shown on the report.
3	Put all the case files together in a bundle and place the report on top. Secure with a rubber-band or bull clip.
4	Place the files in the Operations E206 box as part of completion for return to National Office. See Chapter 22 – Completion.
5	Advise the Returning Officer to mark 'Dual vote investigations completed' task as complete in EMS.

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8 POST-WRIT DELETIONS OVERVIEW

8.1 INTRODUCTION

Post-writ changes represent a change to an elector's eligibility. This information is provided by the Registrar as they update the electoral roll. There is no need to investigate these cases as the elector has not done anything wrong.

8.2 DEFINITION AND HOW THEY OCCUR

The writ-day roll is what is used in voting places to mark electors off when they are issued a ballot paper. Post-writs represent any changes to the roll since writ-day. A change to the roll can affect an elector's eligibility two ways:

Change	Example	Impact
Transfer	An elector changes their address from one electorate to another, but they cast a vote for their old electorate.	Only their party vote will be included in the official count
Deletion	An elector is sentenced to a custodial sentence	They are not eligible to vote. Any votes will need to be removed from the official count
	An elector votes in advance, but passes away prior to election day.	

8.3 TIMELINE

The Registrar processes changes to the electoral roll from writ-day through to the end of Tuesday E+3. Changes to the roll are updated (referred to as PWD Lists) into **ERSA** after 5.30pm on the following days: Sunday E+1; Monday E+2; and Tuesday E+3.

8.4 VOTER'S STATUS CHANGING BETWEEN POST-WRIT LISTS

Very rarely a voter's status will change between Post-Writ Deletion (PWD) reports. In these cases, the Registrar will provide the Returning Officer with a report highlighting what has happened. These cases will need to be checked to ensure that the voter has been correctly dealt with.

8.5 POST-WRIT REPORT

An elector will only appear on this report if they cast a vote and are subject to a post-writ change. This means while **ERSA** holds all the post-writ information it will only appear if or when the voter is marked off the master roll. This means that post-writ changes will continue to appear through the week as rolls are scanned and special voters are marked off.

Surname	Firstnames	Address	Page	Line	PWD Type	Vote Type	Roll/Batch	IP/Dec#
Piper	Peter	123 Takeaway Lane	100	12	Deletion	Roll	1	28019
Simpson	Lisa	2B Cartoon Avenue	170	121	Transfer	Roll	2	28054
Anderson	Kim	5 Matrix Road	12	18	Transfer	SV	28018	123456

8.6 MASTER FORM - M72-POST-WIRT

This is the Master Form you will use for recording any post-writ changes. It is crucial that you copy the information from the Post-writ change report accurately onto the form. This form will be used to confirm the correct vote has been extracted from the count.

POST-WRIT	
DELETION	TRANSFER

Voting information

Voter Name:	
Roll Page:	
Roll Line:	
Voting Place #:	
Voting Place Name:	
Roll or SV Batch #	
SV Declaration #	
Ballot Stub #:	

8.7 PROCESS FOR POST-WRIT CHANGES

You can start processing post-writ changes from Monday E+2.

As it can take time to locate ordinary vote ballot stubs, it is recommended that you run the report early on Monday E+2, check the vote marks and then delegate administrative support staff to start looking for the ballot stubs.

Ordinary votes

Step	Task	
1	Run and print the 'Post-writ Changes' report in ERSA	
2	For each case identified on the report complete a M72-POST: <ul style="list-style-type: none"> • Circle or highlight what type of process is being done: Transfer or Deletion • Enter in the voter information 	
3a	Check to see if they voter was correctly marked off the roll	See section 5.3
	Find the ballot stub relating to the vote that was issued	See section 6.1
	Photocopy the ballot stub and attach to the file	
	Write the ballot stub number on the M72-POST	
4	In ERSA change the vote status from 'allowed' to post-writ transfer or deletion	See section 9.1
5	When you have completed all post-writ changes sort the investigations by voting place. Separate by post-it so that the Extraction Team knows where the files are for each voting place.	
6	Provide the files to the Extraction Team.	

Special votes

Step	Task	
1	Run and print the 'Post-writ Changes' report in ERSA	
2	For each case identified on the report complete a M72-POST: <ul style="list-style-type: none"> • Circle or highlight what type of process is being done: Transfer or Deletion • Enter in the voter information 	
3	Photocopy the M72-POST and provide to the Special Vote Processing Manager to locate and provide you with the declaration and envelope.	
4	Check that the correct voter has been marked off the roll.	
5	In ERSA change the vote status from 'allowed' to post-writ transfer or deletion	See section 9.2
6	For a post-writ transfer , have the RO : <ul style="list-style-type: none"> • Write on the declaration 'Subject to a Post-writ Transfer – PV Only' • Sign below the statement declaration • Give the declaration and envelope to the Special Vote Processing Manager for processing. That is placement in the Party Vote Only Ballot Box 	
7	For a post-writ deletion place the special vote in the investigation file to await completion – Chapter 22.	

9 UPDATING ERSA AND THE MASTER ROLL

9.1 CHANGING AN ORDINARY VOTE STATUS IN ERSA

The table below details the instructions on how to change the vote status of an ordinary vote in ERSA.

Step	Task
1	From the M71-INVEST or M72-POST form identify the roll where voter has been marked off
2	In the top-right-hand corner of the screen in ERSA, enter the electorate, roll, and page number for the voter's details you wish to change
3	Find the entry for the voter and in the status column click on the status e.g. 'Allowed'
4	<p>A dialog box will open showing the voter's details and six vote status options. Select the correct status and then click Change Status.</p> <p>The updated status will now be shown next to the voter's name on the Roll Page.</p>
<p>Troubleshooting</p> <p>I can't change the status to OMR error. If the vote was manually entered into the system then the status will need to be 'clerical error'.</p>	

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9.2 CHANGING A SPECIAL VOTE STATUS IN ERSA

The table below details the instructions on how to change the vote status of a special vote in ERSA.

Step	Task
1	From the special vote menu select – Special Vote Edit
2	Search for the voter using the information from either the M71-INVEST or M72-POST
3	Find the voter and in the Edit column click on the delcaration number.
4	A dialog box will open. Tick the required status box and click 'Update'.

Note: If a data entry operator has made a clerical error and marked off the wrong elector, then you will need to delete the vote. The delete vote function is located in the 'Special Vote Edit' screen.

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10 PRODUCTION OF THE MASTER ROLL

10.1 OVERVIEW

When a vote record is recorded against a voter, ERSAs assigns a letter character to identify how they voted, as detailed in the table below.

Method	Character
Overseas special vote	O
Post-Writ Deletion	D or T
Special vote (advance and Election Day)	S
Ordinary vote	V

If a voter is deemed to have dual voted, while the vote(s) will be extracted, they will still be shown to have voted on the master roll. A post-writ change is shown on the master roll regardless of whether the elector voted or not. Even if the elector voter their status will be shown as either a 'D' or a 'T'.

10.2 TIMING

The record of voters (master roll) must be delivered to the ROE, either by hand or courier:

- On Thursday 9 October (E+19), if there is no recount, or
- On Monday 13 October (E+23), if there is a recount.

10.3 PROCESS FOR PRODUCING THE MASTER ROLL

The table below details the process for producing the master roll

Step	Who	Does what
1		<p>Confirms that all:</p> <ul style="list-style-type: none"> • used voting place (both AVP and ED) rolls have been scanned and uploaded into ERSAs • special voters have been marked off the master roll.
2	Returning Officer	<p>Run the following reports and confirm there are no more apparent dual votes or post-writ changes to be processed.</p> <ul style="list-style-type: none"> • Apparent Dual Vote report • Post-writ report • Notes Action report – no unresolved roll notes
3		Confirms in EMS that all the above tasks have been completed and that the master roll is ready for production.
4	National Office	<p>Downloads the master roll report and formats the report into a PDF document and places it to the ECHO.</p> <p style="text-align: right;"><i>Instructions continue on next page</i></p>

Step	Who	Does what
5		Notifies Returning Officers via an email that the master roll has been uploaded to the ECHO.
6		Download the master roll from the ECHO
7		Prints the pdf file.
8	Returning Officer	Hole punches the master roll file and with the printed PWD list from the intranet.
9		In ERSA print the Voter Not on Roll report. Hole punch
10		Place all the documents (steps 8-9) into the folder provided by the ROE marked "Master Roll for {your electorate}." Provide the master roll to the Registrar of Electors (ROE).
11	ROE	Sends a confirmation email to National Office

10.4 REMOVING NAMES FROM THE 'VOTES NOT ON THE ROLL'

When you have provided the Master Roll and attachments to the Registrar of Electors, you may receive requests from the Registrar to remove names of people on the unpublished roll from the Voters Not on the Roll. If this occurs contact the EC Helpdesk – Voting Services.

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