

# Compliance Review Schedule 2018 to 2021

## **Overview**

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The ACT Electoral Commission (Elections ACT) conducts regular compliance reviews of electoral financial disclosures made by political parties, associated entities, MLAs and other political entities in the ACT to ensure that disclosure obligations under the *Electoral Act 1992* are being met.

The purpose of publishing the compliance review program is to provide political entities with an overview of the proposed timetable and to ensure political entities are aware that financial records and documents will be reviewed for compliance on a regular basis.

It should be noted that the compliance review schedule is intended to be indicative only. Elections ACT reserves the right to alter the schedule at any time and may include additional reviews should the Commissioner consider it necessary in order to maintain the integrity of the funding and disclosure scheme.

This schedule should be read in conjunction with the Review Policy and the Compliance Policy.

## Compliance Review schedule

### 2017-2018 Review

No	Compliance review focus	Months
1.	<ul style="list-style-type: none"> <li>▪ Ensuring that the 2016-2017 Annual returns were lodged by the 31 August 2017 deadline.</li> <li>▪ Ensuring compliant reporting of gifts received of \$1000 or more for the period 1 January 2017 to 31 March 2018.</li> <li>▪ Reviewing quarterly administration funding payments to ensure they were not used to incur expenditure for any ACT, federal, state or local government election.</li> <li>▪ Reviewing anonymous gifts of up to \$1,000 to ensure they have not exceeded a total of \$25,000 in a financial year.</li> <li>▪ Examining payments, or sums of payments, between associated parties to ensure that payments received of more than \$10,000 in a financial year from a related party, are not used for the purposes of incurring ACT electoral expenditure.</li> <li>▪ Review of recordkeeping practices to ensure they are of a satisfactory standard, including recording and accounting of sub-branch transactions.</li> </ul>	May 2018

## 2018-2019 Review

No	Compliance review focus	Months
2.	<ul style="list-style-type: none"> <li>▪ Ensuring that the 2017-2018 Annual returns were lodged by the 31 August 2018 deadline.</li> <li>▪ Ensuring compliant reporting of gifts received of \$1000 or more for period from 1 April 2018 to 30 September 2018.</li> <li>▪ Reviewing quarterly administration funding payments to ensure they were not used to incur expenditure for any ACT, federal, state or local government election.</li> <li>▪ Reviewing anonymous gifts of up to \$1,000 to ensure they have not exceeded a total of \$25,000 in a financial year.</li> <li>▪ Examining payments, or sums of payments, between associated parties to ensure that payments received of more than \$10,000 in a financial year from a related party, are not used for the purposes of incurring ACT electoral expenditure.</li> <li>▪ Review of recordkeeping practices to ensure they are of a satisfactory standard, including recording and accounting of sub-branch transactions.</li> </ul>	November 2018
3.	<ul style="list-style-type: none"> <li>▪ Ensuring compliant reporting of gifts received of \$1000 or more for period from 1 October 2018 to 31 March 2019.</li> <li>▪ Reviewing quarterly administration funding payments to ensure they were not used to incur expenditure for any ACT, federal, state or local government election.</li> <li>▪ Reviewing anonymous gifts of up to \$1,000 to ensure they have not exceeded a total of \$25,000 in a financial year.</li> <li>▪ Examining payments, or sums of payments, between associated parties to ensure that payments received of more than \$10,000 in a financial year from a related party, are not used for the purposes of incurring ACT electoral expenditure.</li> <li>▪ Review of recordkeeping practices to ensure they are of a satisfactory standard, including recording and accounting of sub-branch transactions.</li> </ul>	May 2019

## 2019-2020 Review

No	Compliance review focus	Months
4.	<ul style="list-style-type: none"> <li>▪ Ensuring that the 2018-2019 Annual returns were lodged by the 31 August 2019 deadline.</li> <li>▪ Ensuring compliant reporting of gifts received of \$1000 or more for period from 1 April 2019 to 30 September 2019.</li> <li>▪ Reviewing quarterly administration funding payments to ensure they were not used to incur expenditure for any ACT, federal, state or local government election.</li> <li>▪ Reviewing anonymous gifts of up to \$1,000 to ensure they have not exceeded a total of \$25,000 in a financial year.</li> <li>▪ Examining payments, or sums of payments, between associated parties to ensure that payments received of more than \$10,000 in a financial year from a related party, are not used for the purposes of incurring ACT electoral expenditure.</li> <li>▪ Review of recordkeeping practices to ensure they are of a satisfactory standard, including recording and accounting of sub-branch transactions.</li> </ul>	November 2019
5.	<ul style="list-style-type: none"> <li>▪ <b>2020 pre-election compliance review</b> Ensuring compliant reporting of gifts received of \$1000 or more for period from 1 October 2019 to 31 March 2020.</li> <li>▪ Reviewing quarterly administration funding payments to ensure they were not used to incur expenditure for any ACT, federal, state or local government election.</li> <li>▪ Reviewing anonymous gifts of up to \$1,000 to ensure they have not exceeded a total of \$25,000 in a financial year.</li> <li>▪ Examining payments, or sums of payments, between associated parties to ensure that payments received of more than \$10,000 in a financial year from a related party, are not used for the purposes of incurring ACT electoral expenditure.</li> <li>▪ Review of recordkeeping practices to ensure they are of a satisfactory standard, including recording and accounting of sub-branch transactions.</li> </ul>	May 2020

6.	<ul style="list-style-type: none"> <li>▪ <b>2020 pre-election compliance review</b> - Ensuring compliant reporting of gifts received of \$1000 or more for period from 1 April 2020 to 30 June 2020.</li> <li>▪ Reviewing quarterly administration funding payments to ensure they were not used to incur expenditure for any ACT, federal, state or local government election.</li> <li>▪ Reviewing anonymous gifts of up to \$1,000 to ensure they have not exceeded a total of \$25,000 in a financial year.</li> <li>▪ Examining electoral expenditure to ensure that it has not exceeded the expenditure cap per political entity.</li> <li>▪ Examining payments, or sums of payments, between associated parties to ensure that payments received of more than \$10,000 in a financial year from a related party, are not used for the purposes of incurring ACT electoral expenditure.</li> <li>▪ Review of recordkeeping practices to ensure they are of a satisfactory standard, including recording and accounting of sub-branch transactions.</li> </ul>	July 2020

## 2020-2021 Review

No	Compliance review focus	Months
7.	<ul style="list-style-type: none"> <li>▪ <b>2020 election compliance review</b> - Ensuring compliant reporting of gifts received of \$1000 or more for period from 1 July 2020 to 31 August 2020.</li> </ul>	September 2020
8.	<ul style="list-style-type: none"> <li>▪ Ensuring that the 2019-2020 Annual returns were lodged by the 31 August 2020 deadline.</li> <li>▪ Ensuring that the 2020 Election returns were lodged by the 14 December 2020 deadline.</li> <li>▪ Ensuring compliant reporting of gifts received of \$1000 or more for period from 1 September 2020 to 30 November 2020.</li> <li>▪ Reviewing quarterly administration funding payments to ensure they were not used to incur expenditure for any ACT, federal, state or local government election.</li> <li>▪ Reviewing anonymous gifts of up to \$1,000 to ensure they have not exceeded a total of \$25,000 in a financial year.</li> <li>▪ Examining electoral expenditure to ensure that it has not exceeded the expenditure cap per political entity.</li> <li>▪ Examining payments, or sums of payments, between associated parties to ensure that payments received of more than \$10,000 in a financial year from a related party, are not used for the purposes of incurring ACT electoral expenditure.</li> <li>▪ Review of recordkeeping practices to ensure they are of a satisfactory standard, including recording and accounting of sub-branch transactions.</li> </ul>	Dec 2020-January 2021.

9.	<ul style="list-style-type: none"><li>▪ Ensuring compliant reporting of gifts received of \$1000 or more for period from 1 December 2020 to 31 March 2021.</li><li>▪ Reviewing quarterly administration funding payments to ensure they were not used to incur expenditure for any ACT, federal, state or local government election.</li><li>▪ Reviewing anonymous gifts of up to \$1,000 to ensure they have not exceeded a total of \$25,000 in a financial year.</li><li>▪ Examining payments, or sums of payments, between associated parties to ensure that payments received of more than \$10,000 in a financial year from a related party, are not used for the purposes of incurring ACT electoral expenditure.</li><li>▪ Review of recordkeeping practices to ensure they are of a satisfactory standard, including recording and accounting of sub-branch transactions.</li></ul>	May 2021