

Appendix 2

| Risk No | Category | Risk Description | Existing Controls | L | S | Risk Score | Required Actions | Residual Risk | Person(s) mainly responsible | Timescale "continuous/ongoing" unless otherwise noted | Main function |
|---------|--------------------------------|---|--|---|---|------------|--|---------------|------------------------------|---|---------------|
| 77 | Customer/ citizen/ legislation | Election during canvass | The "churn" caused by canvass activities is increased by political activity - e.g. poll cards will be based on out of date register but political activists will be indentifying the same changes that the canvass forms are designed to identify potentially confusing the elector. | 2 | 3 | 6 | The introduction of IER and interim updates prior to an election eases the pressures somewhat but the issue of poll cards being issued on older data remains but to a lesser degree. Proactive measures to identify new electors without waiting on the canvass also mitigates this risk | 4 | ERO | ongoing | Electoral |
| 78 | Customer/ citizen/ legislation | Referendum during canvass | The "churn" caused by canvass activities is increased by political activity - e.g. poll cards will be based on out of date register but political activists will be indentifying the same changes that the canvass forms are designed to identify potentially confusing the elector. The Scottish Independence Referendum does not fall within a canvass period so the imeediate likeliehood of this scenario occurring is reduced. | 2 | 3 | 3 | The introduction of IER and interim updates prior to an election eases the pressures somewhat but the issue of poll cards being issued on older data remains but to a lesser degree. Proactive measures to identify new electors without waiting on the canvass also mitigates this risk | 4 | ERO | ongoing | Electoral |
| 79 | External | IT Supplier not having a Business Continuity Plan in place resulting in loss of IT System | High possibility of serious error affecting all users- mitigated by mirroring and backups but it requires all users to report errors quickly | 2 | 3 | 6 | Check at tender stage that all critical suppliers have a BCP in place. If an existing Contractor does not have one in place, then request that they do so. If that is not possible then look to switch supplier | 4 | Assessor & Office Manager | ongoing | all |

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| 80 | Political | Introduction of Individual Registration increasing costs of canvass | Monitor and react to proposals for individual registration - keep involved in Electoral Commission and Cabinet Office groups planning the introduction . Close liaison with other EROs and Cabinet Office through AEA and SAA. Due to a high match rate at CDR our funding was lower than initially anticipated | 2 | 3 | 6 | Extra funding received from Cabinet Office but due to the fact that the new system is untried it is prudent to keep money in reserves in case of a shortfall. Close monitoring of spend as canvass progresses | 4 | ERO | Up to 31/03/2014 | Electoral |
| 81 | Technological | Misuse of data/internet | Use of computers,email, and internet policy approved by Board and explained to staff in 2005 and has been part of induction for new staff since then. All staff sign acceptance of policy before getting access to systems. Confidentiality Agreements in place. Data Protection training provided on an annual basis | 2 | 2 | 4 | Although encryption techniques are used and have been succesful there is a risk of data loss in dealing with legally entitled recipients who are not familliar with such security. Monitoring of user logs and ensuring strict checking processes are in palce before data is released. Limit use of USB and DVD. Document handling policy being introduced | 4 | Office manager (for new staff) Depute ERO and Assistant Assessor for external. | Autumn 2014 | All |
| 82 | Technological | Loss of programming capability | In House IT Team. Ensure training is kept up to date in programming capability - IT team training in new systems carried out in 2006/07 | 2 | 2 | 4 | Review IT workload - design job specification for new staff member. Make more use of outside suppliers of programming capability. (done from 2008/09, now continuous) Ensure that programming is fully documented and that we employ two programmers for resilience | 4 | Depute Assessor/IT Team/ITWG | | All |
| 83 | Technological | Loss of sytsems administration capability | In House IT Team. Documented procedures, external support contrcat in place | 2 | 3 | 6 | Review support contract to ensure it provides correct cover. Periodically review documentation, no delay in filling any vacancy | 4 | Depute Assessor/IT Team/ITWG | | All |
| 84 | Legislative | Change to method of financing Local government | Monthly meeting with accountant (office manager and/or Assessor). Awareness of and input to government policy through SAA | 2 | 2 | 4 | | 4 | SAA | | Valuation |

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| 85 | Professional | Reliance on any one individual for particular functions | Review of working practices and manuals to eliminate bottlenecks where the skills or expertise of one person is relied on. <u>Valuation:</u> Assessor and all statutory Deputies are members of the SAA and influence national working practices through the SAA Committee system. Information from these Committees and groups is shared. The Assistant Assessor reviews performance and practice after each VAC hearing (currently in 2011 - monthly). Principal Valuers are on SAA Working Groups | 2 | 2 | 4 | SAA Committee membership was reviewed in mid 2012. A further review is required once a permanent Assessor appointment is made | 4 | Assessor | Late 2014 | Valuation |
| 86 | Customer/ citizen | Insufficient staff/time to deal with registration applications received close to the 12 day deadline - for instance large numbers of postal vote applications | The risks of late rush are in any case mitigated by proactivity in registration and in postal voting publicity. Team Leader will keep informed of activity by parties and advise ERO accordingly. | 2 | 2 | 4 | There is sufficient staff available over the whole period, including late working at specific times. However, if there is a spate of illness or epidemic, we will re-allocate the workload to non electoral staff that have EROS access for scanning purposes and train them in part of the registration process. Postal Voting timing can be a particular risk because printers operate a queue system and any delay will lose a place in the queue. RO's staff have | 4 | ERO/Depute ERO | Sep-14 | Electoral |
| 87 | Customer/ citizen/ legislation | timing of registers and av lists to parties can cause unnecessary work at election time which may interfere with other timetables | Parties/ Permitted Participants and Designated Organisations may ask for lists and registers at any time in the run up to the election | 2 | 2 | 4 | We will continue to try to agree dates prior to every election with political parties re the availability of registers and AV lists at 2 or 3 set dates. this is done in conjunction with SAA, EC and EMB where possible. By ensuring candidates make arrangements to collect paper copies from only from Hillside House this has reduced the number of copies requested (which were never collected) Paper copies are only printed immediately prior to collection. Many data copies are still never "collected" as | 4 | ERO | Sep-14 | Electoral |
| 88 | Customer/ citizen | Local Election during canvass (including Community Council) | Staff from Information Team and Office Services have been seconded to Electoral Team during 2011 and are more aware of electoral work due to training received. ERO considers sufficient cover to deliver a local government election and maintain canvass timetable as this was delivered in 2009. All RO's requested to supply details of all potential CC elections prior to database being | 2 | 2 | 4 | | 4 | ERO | annually September | Electoral |
| 89 | Technological | Software becomes obsolete/ inefficient | Expertise within IT Team - continuously review software capabilities and staff needs. IT training organised in line with other training/development | 2 | 2 | 4 | Set up intra office working groups to allow improved communication between users and IT Team. Regular review of IT Team's training needs. Software maintenance agreements kept in place for key systems | 4 | ITWG group | | Valuation |

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| 90 | Environmental | Inefficient use of resources | Regular meeting with accountant and Office manager. Joint Framework agreement agreed. Use tendering where appropriate. | 2 | 2 | 4 | Closer liaison and working with Clackmannanshire Council Procurement Services | 4 | Assessor/Management team | | All |
| 91 | Financial | Lack of funds/budget cuts | Regular meeting with accountant and Depute Assessor. Early preparation of Budget - 3 year budgeting | 2 | 2 | 4 | Later overview involving Senior Accountant and Assessor | 4 | Depute Assessor | | All |
| | Legal/political | Court Action by Prisoners in run up to elections | establish "Caveats" with all local Courts and Court of Session | 2 | 2 | 4 | | 4 | ERO | | Electoral |

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| 92 | External | Late direction by EMB (or as in 2011 by Electoral Commission). Potential conflict if EMB requirements conflict with arrangements already agreed with printers, ERO's etc | Membership of EMB (directly or through SAA) to influence and keep in touch with possible late changes | 2 | 2 | 4 | Continued membership of AEA and SAA to ensure input can be made to EMB decisions. Close working with local ROs | 4 | ERO | | Electoral |
| 93 | External | Out of date Corporate Address Gazetteer resulting in moving away from electoral data standards goals | New Council Tax properties are added to CT and EROS systems with CAG numbers. New Non Domestic properties are added to Best Value with CAG numbers | 2 | 2 | 4 | We will continue to assist CAGs with data from our systems to aid in their awareness of completeness of individual properties and verification of addresses | 4 | Assistant Assessor and Depute ERO | | Electoral |
| 94 | Technical | Alterations to IT systems in the run up to an election | Work with software and hardware suppliers to ensure that there are no planned alterations in the run up to an election/referendum | 2 | 3 | 6 | Critically risk assess any unplanned updates to ensure that the delivery of the election/referendum is not compromised. Close liaison with Returning Officers | 4 | ERO/Depute ERO/Systems Administrator | | Electoral |
| | political/legal | Failure to become PSN accredited ahead of IER | Close working with Cabinet Office and other VJBs. Close monitoring of progress against project plan and early identification of issues. Close working with ROs | 2 | 3 | 6 | Consider use of CLAS consultant | 4 | ERO/Systems Administrator | Autumn 2014 | Electoral |
| 95 | political/legal | Conflict between the requirements for the introduction of IER and the delivery of the SIR | Close working with Cabinet Office, Software suppliers and other VJBs. Close monitoring of progress and early identification of issues. Close working with ROs | 2 | 3 | 6 | Close working with SAA & AEA to ensure issue is raised at EMB and with Cabinet Office, Scottish Government and software suppliers. Ensure that SIR is not impacted | 4 | ERO/Depute ERO | Up to 19/09/2014 | Electoral |
| 96 | Customer/ citizen | AV list for Returning Officers/printers | This is a major pressure point and there has to be early engagement with RO staff well before the election is called. If possible be involved at an early stage of negotiation between RO and printer regarding timing, but they are ultimately the ROs' decisions. | 2 | 3 | 6 | There are several ways to approach AV lists from an emergency scenario point of view, but the exact arrangements depend on the required final provision of the AV list. In all cases however, AV lists should be kept up to date and saved (or supplied to printers) on an incremental basis so that a system, power, or building failure even on the last day will not require a complete re-start, | 4 | Depute ERO | Review Early 2014 | Electoral |

Red text indicates fairly recent new items or comments

See separate documents for specific election/referendum risks and contingencies
See separate documents for specific IER risks