COMBINED GENERAL RISKS

Risk No	Category	Risk Description	Existing Controls	L	S	Risk Score	Required Actions	Residual Risk	
1	Political	Lack of Notice of Council Tax revaluation/abolition	In touch with government policy through SAA	1	1	1		1	Assessor
2	Economic	Increased expenses	Liaise with HR department of Clackmannanshire Council to keep aware of changes to expenses regime. Continuous monitoring of expenses claims. Publication of mileage scheme on Intranet (Oct 06)	1	1	1		1	Assessor
3	Technological	Loss of incoming data from registers of Scotland	Liaison between IR Team and RoS. Input to RoS through direct contact and SAA about our requirements. Back up regime	1	3	3		3	Depute Assessor (W)
4	Legal	Failure to comply with Freedom of Information legislation	Staff training and awareness of the FoI Act. Most requests for valuation details now treated as "normal business". Presentation for staff on awareness of FOI and Data protection Aug/Sep 2007 Joined in new Model publication	1	1	1	Review FoI policy and publication scheme annually. Treat regular requests as normal business. Next model scheme review in 2012	1	Depute Assessor (W)
5	Legal	Failure to comply with Disability Discrimination Act (Access requirements)	Existing lift and ramps appear adequate and any of our services can be supplied by on-site visit.	1	1	1	Monitor legislative changes - take advice from Clacks and other sources.	1	Office Manager
6	Physical	Water contamination	Drinking water supplied separately on each floor. Mains water tested regularly	1	1	1		1	Office Manager
6A	Physical	Loss of water supply	Drinking water supplied separately on each floor. Water tanks contain enough for 4 hours. Coffee machines can be used for breaks (even if they have to be filled from bottled water sources	1	1	1			
7	Physical	Lone working- Danger to staff	Review of lone working & outside working - staff consultation. Health and Safety Committee including representation from each floor and consultation with the police over lone working procedures. Provision of mobile 'phones incorporating personal security features	1	3	3	Regular review of lone working arrangements to include "door-to-door" canvassers & further training,	2	Depute ERO & Office Manager

Ref	Category	Risk	Controls	L	I	Score	Further Action	Residual	Owner
7A	Professional	Lone working - not working effectively	Reporting of places to be visited and work carried out	1	2	2			Asst Assessors
7B	Physical	Danger to staff	Training is available in lifting, but staff involved in lifting boxes of paper and water bottles have a lack of training in lifting and no one has taken advantage of the training	1	3	3	Encourage take up of courses, consider removal of large water containers	2	
8	Economic	Effects of new legislation (on budget, and workload)	Keep informed of potential changes in legislation through membership of SAA and AEA. Regular monthly (at least) team briefing involving all staff (via line managers). Regular monthly meeting with Accountant	2	2	4	Review and update the Service Plan (including risk register). Review training needs regularly.	2	Management Team
8A	Political	Introduction of Individual Registration increasing costs of canvass	Monitor and react to proposals for individual registration - keep involved in Electoral Commission and MoJ/Cabinet Office groups planning the introduction (5 year voluntary phase starting in 2010 at earliest but not yet clear how it is going to be done)	2	2	4	Continue involvement through SAA, AEA and directly to ensure that plans are practicable and that any additional costs are meet as far as possible directly by Cabinet Office. Now awaiting new government proposals (August 2010)	4	ERO
9	Technological	Hardware failure	Strict back up regime. Complemented by mirror site at Onyx (Campbell-Lee), Springburn. Insurance. Email now via Exchange servers - with back-up. Printers - ensure documents can be printed externally. Separate full mirror of the ER system	3	1	3	for Valuation systems, only the core non-domestic and domestic data is mirrored - although all data is backed-up to tape. Ensure "neverfail" works correctly in email system. .	2	Depute Assessor/IT Team
10	Technological	Loss/corruption of data	Strict back up regime. Complemented by mirror site at Onyx (Campbell-Lee), Springburn. The ER (Halarose) system is mirrored at Viewforth.	3	3	9	ER system is now mirrored at Viewforth, consider other sites for other mirrors (e.g. other Councils).	3	Depute Assessor/IT Team
10A	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	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 famililiar with such security. Investigate increased use of other technologies such as SFTP – to be discussed with Depute ERO and IS in 2010	4	Office manager (for new staff) Depute ERO and Assistant Assessors for external

ID	Category	Risk	Controls	L	I	Score	Action	Rev	Owner
10B	Technological	Loss of Planning and Building Warrant data	Good links with relevant departments of local councils and National Park Authority	1	2	2			Asst Assessors
11	Technological	Failure of LAN servers	Strict back up regime. Use of RAID.	3	2	6	Investigate possibility of consolidation of servers to allow full mirroring. Establish realistic lifetimes (with available support) for all servers.	2	IT team
12	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)	4	Depute Assessor/IT Team
13	Legislative	Responsibility for Ports - Cost of potential cases	Developing communications with the 3 main ports and others. Ensure communications with local assessors are maintained. Expertise on Receipts	2	2	4	Consider Producing a Docks and Harbours Practice Note for SAA approval. Continue to liaise with VOA in national discussions. Although referred to Lands Tribunal no 2005 to 2009 cases involved litigation.	2	Assessor & Asst Assessor (E)
14	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
15	Legislative	Lack of awareness and insufficient planning for new legislation	Awareness of and input to government policy through SAA & AEA. Good communications with appropriate departments such as ODPM, Scotland Office, Scottish Government for statutory functions and departments (e.g. Finance, HR/personnel, RO) of the 3 Councils for non-statutory matters.	1	3	3	Develop involvement in (Interim) Electoral Management Board. Keep software supplier-Halarose aware of pending developments	3	Assessor ERO, Deputes and Assistant Assessor
16	Competitive	Failure to set Targets	Monthly review of progress involving whole management team.	1	2	2		2	Management Team
17	Competitive	Failure to adequately motivate	Staff consultation. Monthly management team meetings followed by Team briefings	1	2	2	Produce bullet points of management team meetings	2	
18	Customer/ Citizen	Staff stop using cars	Continuing contact with Clackmannanshire HR department, but flexibility to ensure needs of the more widespread VJB area catered for.	1	2	2		2	Assessor

ID	Category	Risk	Controls				Action		Responsible
18A	Customer/Citizen/ Professional	High error rate and lack of consistency in Valuation	Good checking procedures - no one person can finalise a valuation. Training and clear guidelines, practice notes and requirement of professional standards by chartered surveyors and qualified technicians	1	2	2			Asst Assessors
18B	Customer/Citizen/ Professional	Failure to pick up changes to properties	Good access to planning/ building permissions, local newspapers. Spot checks on work by professional /technical staff. End of year audit of surveys.	1	2	2	Continuing training		Asst Assessors
19	Customer/ Citizen	Bad press reports	Openness with press and public. Ensure awareness of our own complaints procedure. Amended Complaints procedure approved by	1	2	2		2	Management Team
20	Professional	Inadequate/lack of training	Annual review of individual training needs with rolling 2-year plan. Training issues raised at monthly management team meetings	2	2	4	Encourage use of Conference room facilities for in-house training CPD. Use council supplied training to supplement the 2 year plan	2	Depute (W)
21	Professional	Long-term illness of key personnel	Ensure good communications with teams and between teams so that over dependence on individual knowledge is avoided as far as possible	1	2	2	Set up inter-team Working groups as necessary. Continually improve written procedures/Manual. Develop Multi-tasking teams.	2	Management Team
22	Professional	Ineffective training	Annual review of individual training needs with rolling 2-year plan. Training issues raised at monthly management team meetings. Staff consultation	1	2	2	Consider feedback questionnaire for all staff returning from training	2	Depute Assessor
23	Professional	Loss of groups of staff	Ensure good communications with teams and between teams so that over dependence on knowledge entirely within one team is avoided as far as possible	1	2	2	Improve written procedures/Service Manual. Consider merging teams during restructuring opportunities.	2	Management Team
24	Professional	Unethical behaviour	Openness - customer care. Annual review of individual training needs. Office Manual and disciplinary procedures on intranet. Complaints and anti-harrassment procedures in place	1	2	2	Improve written procedures/Service Manual	2	Depute Assessors
26	Financial	Unexpected salary increases	Monthly meeting with accountant and Office manager. Followed by reports to the Management Team. Early preparation of Budget	1	2	2		2	Assessor

No	Category	Risk	Controls	L	I	R		Further action		Owner
27	Financial	Exceed budget	Monthly meeting with accountant and Office manager. Early preparation of Budget - 3 year budgeting. Use joint-framework, tendering. Involve whole management team by way of regular reports	1	3	3			3	Assessor
28	Legal	Failure to comply with Equality obligations	Review of Race Relations action plan (approved Sept 05). Three year plan approved by VJB (Sept 05); renewed by VJB (Oct 08) Disability Equality	1	1	1	continuously review Race Equality Action plan. Implement disability scheme and action plan. Involvement by senior staff in upcoming equality issues (faith, sexuality).		1	
29	Legal	Failure to have personnel policies	Close liaison with Clackmannanshire HR department. General acceptance of Clacks HR policies with tailoring to specific VJB requirements where necessary.	1	1	1			1	
30	Professional	Reputation of staff/ organisation	Openness - customer care - Office Manual, written procedures on Intranet. Disciplinary procedures published on Intranet. Disclosure Policy approved (Sept 07)	1	3	3	Develop corporate goals. Develop written procedures. Service plan/Service Manual.		2	
31	Political	Failure to deliver CORE project objectives	Membership of Consortium of the three local authorities to purchase CORE compliant system (purchased 2005). Help to establish the Scottish Halarose Users' Group. Keep in touch with changing aspects of CORE through SAA and AEA groups. Deliver project plan for Cabinet Office standards	1	3	3	Keep informed of CORE and MOJ developments by Halarose. Participate in Halarose user Group and Scottish Halarose users group. Data Standards due for completion by December 2009. (Now complete as at December 2009). Overall CORE project on hold until IER issues resolved by Cabinet Office		2	ERO, depute ERO
32	Political	Councils dissatisfied with the ERO function	Regular contact with 3 ROs to ensure their needs as "customers" are taken into account. Co-operation on the Eros Election management /registration system	2	2	4	Develop the Service Level Agreement. Liase with Councils and Halarose		3	ERO, Depute ERO
32A	Political	Review by Government and Electoral commission of electoral and registration systems	Respond to consultation documents through SAA and AEA, and direct contact with Electoral Commission, Scotland Office (& Cabinet Office), and Scottish Government	2	2	4	Involve Halarose and user groups to develop required changes. Involvement through SAA ER Committee (and directly) with the Interim Electoral Management Board for Scotland. Encourage membership of Halarose forum among RO staff		4	ERO
33	Social	Ward boundary changes (Future changes to be provided only in electronic format)	Service Level Agreement with FVGIS to ensure continuing capability in Geographical Information Systems	3	1	3	Ensure GIS within office can provide the required service . Liaise with ROs re requirements. Particular concerns with any changes to polling schemes as a result of the new Scottish Parliamentary boundaries due in 2010, as the boundary approval is expected to be delayed until Autumn.		3	Depute ERO and Assistant Assessors

34	Technological	Failure of communications between office and mirror	Tape back ups remain in place to ensure that there is no loss in data.	3	2	6	Investigate resilience with Campbell-Lee. Upgraded line to be in place by end of 2008/09 (Done)		3	Depute Assessor (E)
35	Technological	Loss/failure of assessors (Corona) system	Strict back up regime. Complemented by mirror site at Campbell-Lee, Springburn. Continuing dialogue with main supplier. Project team to help with communications between supplier and users. Corona Users' group involving Central Scotland, Highland, and Borders. Ensure that we are never solely reliant on the Corona system for all aspects, by making use of in-house add-ons, making it easier to put temporary work around in place if	2	3	6	Investigate other available suppliers for new parts of the system to reduce dependence (as already done with the ER system).		3	
36	Technological	Failure to accept CAG data	Involvement with the CAG project through direct contacts and FVGIS. Membership of a CAG-Assessors project	3	2	6	Complete the CAG/Assessors project. Take part in any pilots to establish best practice in CAG/Assessors links. Liase with Halarose & user groups on how to import data safely into the Eros stystem		3	Assistant Assessors and Depute ERO
37	Technological	Loss/theft/damage to hardware	Insurance. Office security measures. Back up regime and mirroring to prevent permanent loss of data	1	2	2	Ensure insurance remains adequate and consider improvements to email system		2	
38	Customer/ Citizen	Inefficient canvassing	Annual review of methods. Investigation of options following each annual canvass. Internet/phone/text options in place (since 2007)	1	2	2	Annually review the cost effectiveness of door to door canvassing, telephone, internet, text, and postal canvassing - both locally and as part of SAA ER Committee		2	Depute ERO
39	Professional	Failure to retain/attract professional staff	Ensure salaries and prospects match those of neighbouring offices as far as possible. Staff structure amended to allow a career path within the office	1	3	3	more staff involvement with SAA		3	
40	Professional	Industrial action	Union consultation. Staff consultation to identify problems at an early stage. Openness	1	2	2			2	
40A	Professional	Conflict of interest		2	2	4	All staff should be required to declare potential conflict of interest Audit action 2010 to have annual declaration of interset			
41	Professional	Loss of key staff	Ensure good communications with teams and between teams so that over dependence on individual knowledge is	1	2	2	Improve written procedures. Review IT workload to specify job description for replacement staff.		2	
41A	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.	2	2	4	Guidance notes and training manuals to be made widely available to ER staff. Ensure use of such guidance is included in general reviews of staff training needs. Restructure of Electoral/Clerical sections in August 2009 into one section with change working practices to reduce bottlenecks but review progress after a year. This has already allowed the Team leader to support the Depute ERO more effectively. Spread knowledge of Electoral matters to both Assistant Assessors (already membership of AEA, take up of certificate Course 2009) to allow back up to ERO and Depute ERO. Encourage Councils' staff to use the team leader for most routine issues especially Postal Voting.		2	ERO

42	Legal	Failure to comply with Health and Safety legislation	Establishment of H&S working Group with representatives from each floor (involvement with review of office facilities) Report by office manager on H&S issues to monthly management team - Regular staff consultation. Health and safety Committee reformed to now report to Management Team	1	2	2	Review membership of Health and Safety group to cater for staff changes	2	Assessor /ERO
43	Legal	Failure to follow personnel policies	Intranet version of Staff Manual published.	1	1	1	Continuous update of intranet version of guidebook.	1	
44	Legal	Failure to comply with Council Tax legislation	Keep informed of potential changes in legislation through membership of SAA. Regular monthly (at least) team briefing	1	1	1	Review and update of service plan/service manual	1	
45	Legal	Failure to comply with Electoral Registration legislation	Keep informed of potential changes in legislation through membership of SAA and AEA. Regular team briefing	1	1	1	Review and update of service plan/service manual. Check that any legislation changes are fully delivered by supplier	1	ERO
46	Legal	Failure to comply with Rating Valuation legislation	Keep informed of potential changes in legislation through membership of SAA. Regular monthly (at least) team briefing	1	1	1	Review and update of service plan/service manual	1	
47	Physical	Loss of/ damage to buildings	Building Insurance (requirement of lease) Informal discussion with Campbell-Lee. Ensure Buildings and	1	3	3	Formalise availability of alternative workspace. Develop the Business continuity plan. Installing and developing a document management system (introduction from April 2009)	3	Depute Assessor (E) / Office Manager
48	Contractual	Loss of phone services	For loss of supplier appoint alternative supplier within 90 days to retain existing numbers. For loss at critical times use office mobile phones (normally held by technical staff). Publicise selection of numbers to stakeholders by email and (via radio, newspaper advertising) to	1	2	2	Business continuity plan. Use of the improved email system (VJB approval Sept 05/Jan 06) For BCP consider VOIP and freephone to a mobile Also consider use of another locaton if prob lem at a critical time	2	Office Manager
49	Political/Legal	Failure to comply with Best Value	Experienced trained staff. Monitoring of KPIs. Report to VJB. Regular audit of Surveys. Survey arranged for large	1	1	1	Regular staff-survey and follow up training. Customer consultation. Increased written processes. Regular review of processes. Review Service Plan & Office Manual. Regular review of training needs.	1	
49A	political/legal	Failure to meet KPIs	reguar monitoring by management and encouraging commitment by all staff to the KPIs	1	1	1	Some staff have at times not seen the relecvance to KPIs to their own work. The importance of the work of all staff to achieving KPIs is explained at every opportunity		Management team
50	Customer/ Citizen	Failure to provide ROs with Election Registers, absent voters etc	Management team monthly report. Guidance from Depute ERO and Halarose instructions briefings for ERO	2	3	6	Review and update service plan/Manual. Use Halarose to supply additional support. Liase with RRO for Euro elections.	3	Depute ERO
50A	Customer/ citizen	Insufficient staff/time to deal with registration applications received close to the 11 day deadline - for instance large numbers of postal vote applications delivered to the office close to the deadline by one or more political parties.	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. Candidates and agents will be encouraged to use the Electoral Commission form from the aboutmyvote site and specifically discouraged from using photocopies of any form. All parties should be reminded (via PPP) of the EC guidance on quick return of form to the ERO . Any local party or agent thought to be breaching these rules should be referred to the ERO	4	Depute ERO

ID	Category	Risk	Description/Control				Action		Owner
50B	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				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		Depute ERO
51	Customer/ Citizen/ Legislative	Failure to produce Electoral Registers	Management team monthly report. Guidance from Depute ERO and Halarose instructions briefings for ERO	1	3	3	Review and update service plan/Manual. Use Halarose to supply additional support	3	Depute ERO
51A	Customer/ citizen/ legislation	timing of registers and av lists to parties can cause unnecessary work at election time which may interfere with other	Parties may ask for lists and registers at any time in the run up to the election	2	2	4	We should for every election agree with parties (perhaps jointly with the RO or through IEMB) that we will produce absent voters' lists for political parties on three occasions (dates to be agreed) in	4	ERO
51B	Customer/ citizen	Local Election during canvass (including Community Council)	The reorganisation of ER Staff into a single team allows further flexibility (August 2009) which should allow	2	2	4	Review effect of restructure in Late 2010	4	ERO
51C	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 wil be indentifying the same changes that the canvass forms are designed to identify potentially confusing the elector	2	3	6	The PPE Act 2009 addresses SOME of the issues - we can now treat a canvass return as a rolling register application but canvass deletions from the register cannot be made without other sources of evidence. The EROS system is set up to not action deletions from the canvass until publication; so the register will be "inflated". This issue has been raised with the MoJ and Electoral Commission. It is possible to delay publication date beyond 1st December if an election is called during canvass. There is no assistance from the PPE act for a referendum during canvass. If election is called late in the canvass there will be more manual work in reinstating deletions - this has been raised with Halarose as an issue. Halarose are notified of further development request through User Forum & User Group meetings. Encourage membership of forum by senior ERO staff (and RO staff)	4	ERO
52	Physical	Loss of/damage to equipment (See separate item for IT equipment)	Contents insurance	1	3	3	Review contents insurance. Develop the Business continuity plan.	2	Office Manager
53	Political/ Financial	Failure to comply with Audit Actions	Internal Audit report recommendations/actions agreed by Management Team and VJB. Mileage guidance published on Intranet and in use. New Financial Regulations approved Nov 06. New mileage claim guidance Oct 06	1	2	2	New internal audit report notified to VJB in June 08	2	
54	Political/ Social/ Environmental	Loss of local employment		1	1	1		1	
55	Economic/ Legal	Absence of/Inadequate insurance policies	Liaise with Clackmannanshire Council Finance department	1	3	3	Review all insurances annually	3	
56	Technological	Hardware becomes obsolete	Replace as required (see IT strategy)	1	2	2	Keep informed of Hardware options (IT to report on the options by December 2009- Done see VJB reprt Feb 2010)	2	
57	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.	4	
58	Technological	Computer virus attack	Strict back up regime. Complemented by mirror site at Onyx, Springburn. IT Team awareness of anti virus measures. Regular update of virus checking. Email/internet policy and guidance. Firewall at Campbell-Lee. Firewall at links to the 3 Councils - Electoral Mirror in Stirling	1	3	3	Nov/Dec 09 - Additional protection as recommended by IT manager installed (to avoid a single point of failure in existing firewall)	3	IT team

#	Category	Risk	Controls	L	I	Score	Action	Residual	Owner
59	Technological	Reliance on third parties for support	Continuing dialogue with main suppliers. Project team to help with communications between suppliers and users. Ensure that we are able to have workarounds if necessary by not having total reliance on any one supplier or one system.	3	3	9	Reduce the risks by having escrow agreement. Investigate other available suppliers for new parts of the system to reduce dependence on any one supplier.	6	
60	Environmental	Build-up/waste of print cartridges		1	1	1	develop disposal policy	1	
61	Environmental	Inefficient use of resources	Monthly meeting with accountant and Office manager. Joint Framework agreement agreed. Use tendering where appropriate.	2	2	4		4	
62	Environmental	Build-up/waste of obsolete PCs	Disposal Arrangements made for nominal fee	2	2	4		2	
63	Financial	Lack of funds/budget cuts	Monthly meeting with accountant and Office manager. Early preparation of Budget - 3 year budgeting	2	2	4		4	
64	Physical	Loss of power	Main systems protected by mirroring	1	3	3		2	IT team
65	Physical	Acts of terror		1	3	3	Business continuity plan	2	
66	Physical	Severe weather	Snow clearing arrangements in place since 2006/07	1	2	2		2	Office Manager
67	Contractual	Failure to achieve best value in procurement		1	2	2	use tender process and joint Council framework agreements	1	
68	Contractual	Poorly specified contracts		2	2	4	use tender process and joint Council framework agreements	2	
69	Contractual	Default in contracts		2	1	2		2	
70	Contractual	Failure of support services		1	1	1		1	
71	Environmental/ Physical	Insufficient parking space		1	1	1	Monitor car parking problems	1	
72	Environmental/ Physical	Vandalism	Security systrems	2	1	2		2	
73	Political/Legal	being involved in third party actions arising from holding data that is not really needed.	Document retention and disposal policy agreed by management team and VJB (Sept 06) ; to ensure documents are held only for as long as needed. Document retention and disposal policy implemented	2	2	4	Review the Document Retention and disposal policy as required	2	
74	Legal	Change to Fire regulations	Fire risk assessment has been carried out. See separate Fire Risk assessment	1	2	2	Ensure all new staff have attended fire training. Review risk assessment at least annually	2	
74A	Legal/political	Court Action by Prisoners in run up to elections	establish "Caveats" with all local Courts and Court of Session	2	2	4	Keep in touch with legal dept. of Clacks Council on this issue	4	
75	Environmental/ Physical	Window limiters can be overridden (needed to allow emergency use), but if opened to far in normal use this could be a danger particularly if someone has to over-reach to close	Staff have been instructed not to push windows beyond limiters. Following review by H & S Committee window catches/limiters have been tightened	1	2	2	Tightening catches has solved the problem but if it recurrs consider window closing aids such as additional handles nearer the pivot point	2	
76	Legal	lack of signage for disabled/ramp access to building	Existing sign gives phone number and web address. Additional signage added at beginning of ramp to indicate access (2007).	1	2	2		2	
77	Physical	Old roll up cabinets - risk of sudden release of catch	Review of cabinet uses carried out in 2008. Cabinets replaced	2	2	4	replacement with modern cabinets. Meanwhile warning notices on any remaining roll up cabinets.	2	
88	External	Lack of experience or knowledge in Electoral Services	High possibility of serious error affecting all users- mitigated by mirroring and backups but it requires all users to report errors quickly	3	2	6	Work with Halarose to improve insulation of councils from each other and from ERO	4	ERO/Depute ERO

	Category	Risk	Controls	L	I	Score	Further Mitigation	Residual	Owner
89	External	Council Network Failure	built in resilience to system but some parts depend on speedy resolution by BT	1	2	2	Ensure named contacts available at critical times	2	IT team
90	External	Late direction by IEMB	Membership of IEMB (directly or through SAA) to influence and keep in touch with possible late changes	2	2	4			ERO
91	External	Out of date Corporate Address Gazetteer resulting in moving awayt from data standards goals	Use Assessor's address and number. Ensure that new Council Tax properties are added to CT and EROS systems with reference to the Polling District	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		Assistant Assessors and Depute ERO
92	External	IT Supplier not having a Business Continuity Plan in place resulting in loss of IT System		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		Assessor & Office Manager

The risks below refer to Electora Performance Standards - they are shown here to indicate that the controls and further mitigations should ultimately become embedded in what we do and how we do it. Note that the performance standards required can change and the intention is to continuously improve processes and evaluation.

	Category	Risk	Controls	L	I	Score	Further Mitigation	Residual	Owner
78	Performance Standards (ER)	not meeting or not exceeding Performance standard 1: Using information sources to verify entries on the register of electors and identify potential new electors	Arrange regular meetings with Councils at high level to ensure all relevant sources are identified. Ensure good links between Assessors systems data and ER systems, to pick up new properties. Establish and maintian contacts with private sector landlords and social landlords.	2	2	4	establish electronic links for as many sources as practicable. Follow-up on citizenship information by contact ing new citizens directy in addition to attedance at ceremonies	4	ERO/Depute ERO/Team Leader
79	Performance Standards (ER)	not meeting or not exceeding Performance standard 2: Maintaining the property database	Ensure Assessor's database has good links with the ER database. Crossmatch property databases with the local CAGs	2	2	4	development of CAG and GIS links to help meet Data standards	4	ERO/Depute ERO/Team Leader
80	Performance Standards (ER)	not meeting or not exceeding Performance standard 3: House-to-house enquiries	Canvass areas identified annually and maintained on database. Reporting functions allow previous years % responses to be maintained for analysis. Written instructions and all canvassers have to attend a training session prior to commencing work. Performances monitored. Annually canvass reviewed to try and improve our responses and the number of canvassers employed and the quality of the canvass	2	2	4	increase use of GIS system - Use of a formal plan for all activities and identify the required budget. Convert existing Service Plan into the template preferred by the Electoral Commission	4	ERO/Depute ERO/Team Leader

| 81 | Performance Standards (ER) | Not meeting or not exceeding Performance standard 4: Maintaining the integrity of registration and absent vote applications | Use the written plan from DAB and supplement by local guidance, training and advice. Ensure staff are aware of their registration areas and can access assessor's data to identify multi-registration addresses. Check Council Tax lists as often as available (and other council records when can be supplied) differences are identified and enquiries made, electors reviewed. Any incomplete applications are sent further enquiries an and suspicious applications refered to senior member of staff . SPOC is contacted once a year by ERO or Depute ERO in respect of general issues even if there is no suspected fraud. Documents are retained in accordance with retention/disposal policy which requires that electoral forms are retained for a little longer than the life of the register, and absent voter forms are retained until superseded. | 2 | 2 | 4 | review the written plan and supplementary advice to create a single document. Incorporate into the written plan a notional threashold number of electors or absent voters as a failsafe position despite the availablilty of detailed records of each property. | 2 | ERO/Depute ERO/Team Leader |
| 82 | Performance Standards (ER) | Not meeting or not exceeding Performance standard 5: Supply and security of the register and absent voter lists | A list of all recipients of the register and all sales is maintained. Any queries on format or quality must be refered to senior staff to investigate and respond. If recipient is dissatisfied with the response they should be advised of the formal complaints procedure and any such complaint will be logged and dealt with. List of places of publication maintained and published on website. Libraries etc annually issued with guidelines and relevant staff trained in supervision. | 2 | 2 | 4 | establish a log of initial queries and complaints below the level of formal complaint to ensure that any suggestions are considered before next publication | 4 | ERO/Depute ERO/Team Leader |

83	Performance Standards (ER)	Not meeting or not exceeding Performance standard 6: Public awareness strategy	Regular meetings with Returning Officer staff and communications staff in councils to establish and develop strategy. Budget identified in advance (jan/feb) and used as deemed appropriate annually. Participation with other ERO's and Electoral Commission to try and maximise efficient use of resources. different target groups e.g. ethnic minority electors, attainers, staff, disabled etc. The approach is to use a wide range of efforts to target the various groups. Use is made of Council contacts and newspapers, Newsletters, Clubs, local Radio, and direct contact with other organisations which appear to have good contacts with the target audiences.	3	2	6	The main difficulty is measuring results or success of the participation. Keep refreshing the activities and identify new contacts. Although Budget process is from January, in fact the process begins in July when the previous years spending is fully analysed and any likely changes need to be identified form then until after the canvass. In this way the EC form for spending will directly feed into the EC form for planning.		4	ERO/Depute ERO/Team Leader
84	Performance Standards (ER)	Not meeting or not exceeding Performance standard 7: Working with partners	Regular Electoral Registration Committee meetings with other Scottish EROs, meetings with local RO & communication staff, other council services and electoral system user group meetings (UK, Scottish and local). Regular press releases on various topics and use of community newspapers, websites , e.mail etc. continuing to be developed. Involvement with local ROs and also at national level through AEA, IEMB. Contacts with Scottish Governmnet , Scotland Office, MOJ, and Electoral Commission through SAA and separately	1	1	1	Most suggestions made so far to Electoral Commission unfruitful and slow progress with some council services hinders, but continue to work on these to improve usefulness. Tendency for governmnet departments to have a high turnover so regular contact is essential. H110+H111		1	ERO/Depute ERO/Team Leader
85	Performance Standards (ER)	Not meeting or not exceeding Performance standard 8: Accessibility and communication of information	We annually subscribe to a translation service and all issued envelopes as well as some forms carry advice in 5 languages that translations are available. Registration is encouraged by web/text and telephone as well as by post/ Telephone and e.mail contact details maintained and used as alternative method of communication. Contacts established with local representative and social groups	2	2	4	We have continually requested that Electoral Commission further develop translation of forms into all EC languages and more minoriity ethnic languages used by Commonwealth citizens. Use Council expertise to keep upto date with shifts in ethnic and other minorities in the area. Be aware of establishment of new contact groups (both locally and nationally). Use SAA meetings to encourage contact with national interest groups (e.g disability groups)		4	ERO/Depute ERO/Team Leader

86	Performance Standards (ER)	Not meeting or not exceeding Performance standard 9: Planning for rolling registration and the annual canvass	Staff have been provided with guidance on actions to be taken to maximise registration. Resources are available annually for both canvass & rolling registration tasks. Monitoring of returns takes place and further actions implemented as appropriate. Procedures and performance is evaluated internally and reports made to Management Team and Valuation Joint Board . Performance indicator statistics etc made available to Electoral Commission and statistics supplied to Boundary Commission and others as requested. Early set up of printing and stationary supplies and internet/phone registration. Back up of large in house printing if needed.	1	3	3	Review canvass annually and compare methods with other EROs. Keep contact through AEA wih exemplary authorities in England as well as through SAA with all Scottish EROs	3	ERO/Depute ERO/Team Leader
87	Performance Standards (ER)	Not meeting or not exceeding Performance standard 10: Training	Written instructions available to all staff and on-line help available on Electoral system and from suppliers helpdesk (excellent service). When amendments to system or legislation guidance is updated and staff notified. Feedback always requested from staff and annually canvass and rolling registration procedures are reviewed. By liaison with other EROs , Halarose User Groups members etc system and guidance can be developed in cooperation with other EROs & ROs	2	2	4	Previous attempts to encourage staff to undertake formal qualifications have been unsuccessful but will be retried as staff turnover allows - One senior member of staff now undertaking the AEA course. Involvement of more ER staff in Halarose user groups, AEA and EC seminars, and Halarose on line forum.	4	ERO/Depute ERO/Team Leader

Red text indicates fairly recent new items or comments

indicates ER performance standards

indicates Electoral (particularly affecting elections from 2009)

indicates Health and Safety

See separate Fire Risk Assessment