

**MINUTE of MEETING of CENTRAL SCOTLAND VALUATION JOINT BOARD  
APPOINTMENTS COMMITTEE held within HILLSIDE HOUSE, STIRLING on  
THURSDAY 1 DECEMBER 2011 at 9.15 a.m.**

**PRESENT:** Councillors Blackwood, Goss, McLaren, and Simpson.

**CONVENER:** Councillor Simpson.

**APOLOGIES:** Councillor McNeill and Nimmo.

**ATTENDING:** Assessor and Electoral Registration Officer; Assistant to Clerk (S Barton); John Mackay, Senior HR Adviser and Lorna Young, Learning and Development Adviser (both Clackmannanshire Council).

**DECLARATIONS  
OF INTEREST:** None.

**VJB23. MINUTE**

There was submitted (circulated) and **APPROVED** Minute of Meeting of Central Scotland Valuation Joint Board Appointments Committee held on 18 and 23 November 2011.

**VJB24. EXCLUSION OF PUBLIC**

**RESOLVED** in terms of Section 50A(4) of the Local Government (Scotland) Act 1973, to exclude from the meeting the press and public for the following item of business on the grounds that it would involve the likely disclosure of exempt information as defined in Paragraph 1 of Part 1 of Schedule 7A of the said Act.

**VJB25. POST OF DEPUTE ASSESSOR**

There was submitted Report (circulated) by the Assessor/Electoral Registration Officer outlining the selection process in respect of the post of Depute Assessor.

The Committee **AGREED:-**

- (1) the presentation topic to be given to candidates in advance of their interview, namely – “How has any valuation case you have been involved in, or are aware of, improved your knowledge of the procedures of principles of Valuation Law?”, and
- (2) the questions to be asked of each candidate following their presentation.

The Committee then proceeded to interview a shortlist of 3 candidates.

After discussion, **AGREED** to offer the post of Deputy Assessor to P Wildman on the relevant salary and conditions.

**MINUTE of SPECIAL MEETING of CENTRAL SCOTLAND VALUATION JOINT BOARD**  
**held within the MUNICIPAL BUILDINGS, FALKIRK on FRIDAY 27 JANUARY 2012 at**  
**9.00 a.m.**

**PRESENT:** Councillors Biggam, Blackwood, Goss, Hughes, McLaren, McNeill,  
Nimmo, Ritchie and Simpson.

**CONVENER:** Councillor Simpson.

**APOLOGY** Councillor Paterson.

**ATTENDING:** Assessor and Electoral Registration Officer; Depute Assessor;  
Assistant to Treasurer (L Shaw); Assistants to Clerk (B Pirie and S  
Barton)

**DECLARATIONS**  
**OF INTEREST:** None.

**VJB26. MINUTE**

There was submitted (circulated) and **APPROVED** Minute of Meeting of Central  
Scotland Valuation Joint Board held on 18 November 2011.

**VJB27. DRAFT REVENUE BUDGET 2012/13 TO 2014/15**

There was submitted joint Report (circulated) by the Treasurer and Assessor (a)  
presenting the Draft Revenue Budget for Central Scotland Valuation Joint Board  
for the financial year 2012/2013; (b) providing for consideration the budget  
estimates for the years 2013/2014 and 2014/2015, and (c) making  
recommendations on the allocation of the net costs to Falkirk, Stirling and  
Clackmannanshire Councils.

Discussion took place on the following:-

- Inflation on superannuation contributions
- The likely increase in postage costs
- The move towards using e-mail for more correspondence and how this  
type of correspondence is filed
- How the Assessor encourages new citizens to apply for the right to vote

**AGREED:-**

- (1) to approve the Valuation Joint Board's Revenue Budget for 2012/2013 of  
£2,545,680 as detailed in Appendix A to the Report, and

- (2) to requisition the constituent authorities for their share of the net expenditure as follows:-

Falkirk Council	£1,254,510
Stirling Council	£897,630
Clackmannanshire Council	£393,540

## **AGENDA ITEM 2**

### **CENTRAL SCOTLAND VALUATION JOINT BOARD**

**Subject: REVENUE BUDGET 2011/12 – REVIEW AS AT 31.01.12**  
**Meeting: CENTRAL SCOTLAND VALUATION JOINT BOARD**  
**Date: 24th February, 2012**  
**Author: TREASURER**

#### **1. INTRODUCTION**

- 1.1 The purpose of this report is to advise the Joint Board of the forecast outturn for the financial year ending 31 March 2012.

#### **2. BACKGROUND**

- 2.1 The budget for the financial year 2011/12 is £2.665 million. The projected outturn against the budget shows an overspend of only of £1K (see Appendix A).
- 2.2 The main reason for the reported figure relates to a reduction in general employee costs off-set by additional strain payments to the pension fund as a result of the voluntary severances recently approved by management.

#### **3. RECOMMENDATIONS**

- 3.1 The Joint Board is asked to note the contents of this report.

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Treasurer  
16 February 2012

#### **LIST OF BACKGROUND PAPERS**

1. Various working papers associated with the production of the outturns.

Any person wishing to inspect the above background papers should contact Clackmannanshire Council, Finance Services, on Alloa (01259) 452072.

## CENTRAL SCOTLAND VALUATION JOINT BOARD

## Outturns January 12

	Budget 2011/2012	Budget to 31/01/2012	Actual to 31/01/2012	Outturn 31/03/2012
	£	£	£	£
<b><u>Employee Costs</u></b>				
Gross Salaries	1,540,300	1,283,532	1,139,946	1,343,050
Employer's Superannuation	300,360	250,290	213,723	261,900
Employer's National Insurance	122,310	101,921	92,254	106,650
Overtime	0	0	4,933	5,000
SMP	0	0	850	0
Canvassers	10,000	8,333	250	7,500
Occupational Sick Pay	0	0	0	0
Superannuation Annual Charges	16,980	14,149	11,967	18,000
Superannuation Lump Sum	0	0	115,173	115,170
Staff Advertising	0	0	297	500
Employee Training	5,500	4,583	8,659	8,700
Conf. Exp.& Subsistence	1,500	1,250	1,954	2,000
Other Employee Costs	1,500	1,250	1,888	2,000
	<b>1,998,450</b>	<b>1,665,308</b>	<b>1,591,894</b>	<b>1,963,970</b>
				<b>(34,480)</b>
<b><u>Property Costs</u></b>				
Repairs & Maintenance	14,000	11,666	5,137	10,000
Heat & Light - Gas	2,420	2,017	2,779	3,710
Heat & Light - Electricity	13,790	11,491	8,342	11,120
Property Rental	136,080	136,080	123,601	136,070
Service Charge	11,460	11,460	12,150	17,600
Rates	60,070	60,070	60,206	60,210
Water Charges	6,470	5,391	5,679	8,520
Cleaning Materials	1,500	1,250	961	1,560
Cleaning Services	13,880	11,566	8,097	13,880
Window Cleaning	0	0	90	180
Insurance	2,520	2,520	2,862	2,860
	<b>262,190</b>	<b>253,511</b>	<b>229,904</b>	<b>265,710</b>
				<b>3,520</b>
<b><u>Transport Costs</u></b>				
Staff Travelling Expenses	22,000	18,333	18,641	22,370
Staff Travel home to work		0	12	10
Car Allowances	11,120	9,266	7,905	9,490
	<b>33,120</b>	<b>27,599</b>	<b>26,558</b>	<b>31,870</b>

Budget 2011/2012	Budget to 31/01/2012	Actual to 31/01/2012	Outturn 31/03/2012
£	£	£	£
			(1,250)

	Budget 2011/2012	Budget to 31/01/2012	Actual to 31/01/2012	Outturn 31/03/2012
	£	£	£	£
<b><u>Supplies and Services</u></b>				
Equipment	0	0	397	400
Furniture	500	417	704	700
Clothing	300	250	60	150
Bottled Water	1,200	1,000	1,068	1,420
Hospitality	2,000	1,667	1,092	2,000
	<b>4,000</b>	<b>3,334</b>	<b>3,321</b>	<b>4,670</b>
				<b>670</b>
<b><u>Administration</u></b>				
Purchase Office Equipment	0	0	100	100
Office Equipment Maintenance	5,000	4,167	2,715	5,000
Printing	9,000	7,500	11,984	12,000
Photocopying	6,000	5,000	0	3,000
Stationery	11,000	9,166	5,769	8,000
Publications	5,000	4,167	4,766	5,000
Advertising	5,000	4,167	1,218	5,000
Insurance	13,200	13,200	12,362	12,360
Professional Fees	0	0	2,500	2,500
Postages	89,690	74,739	61,112	89,690
Telecommunications	10,000	8,333	6,603	8,100
Legal Fees	6,000	5,000	5,200	10,000
Miscellaneous Supplies	500	417	1,251	1,250
	<b>160,390</b>	<b>135,856</b>	<b>115,580</b>	<b>162,000</b>
				<b>1,610</b>
<b><u>Computer</u></b>				
Computer Hardware Purchase	7,000	5,833	1,090	7,000
Disaster recovery	24,860	20,716	18,066	22,340
Computer Hardware Maintenance	4,120	4,120	6,990	6,750
Computer Software Purchase	1,000	833	808	810
Computer Software Maintenance	65,500	54,581	77,313	77,310
Computer Peripherals	1,000	833	0	0
Computer Consumables	1,000	833	25	30
Computer Services	22,660	18,883	25,415	31,360
	<b>127,140</b>	<b>106,632</b>	<b>129,707</b>	<b>145,600</b>
				<b>18,460</b>



	Budget 2011/2012 £	Budget to 31/01/2012 £	Actual to 31/01/2012 £	Outturn 31/03/2012 £
<b><u>Third Party Payments</u></b>				
Accounts Commission - Audit Fees	8,010	6,675	1,825	7,500
Payments to Contractors	1,000	833	1,031	1,130
Other local authorities	8,000	6,666	5,332	14,130
	<b>17,010</b>	<b>14,174</b>	<b>8,188</b>	<b>22,760</b>
				<b>5,750</b>
<b><u>Support Services</u></b>				
Financial Services	27,990	0	0	27,990
HR Services	23,690	0	11,788	44,650
Legal Services	5,000	0	0	5,000
Clerking of the Board	9,620	0	0	9,620
	<b>66,300</b>	<b>0</b>	<b>11,788</b>	<b>87,260</b>
				20,960
<b>TOTAL EXPENDITURE</b>	<b>2,668,600</b>	<b>2,206,414</b>	<b>2,116,940</b>	<b>2,683,840</b>
				<b>15,240</b>
<b><u>Income</u></b>				
Electoral Roll Sales	0	0	0	0
Sales	(3,000)	(2,500)	0	0
Other Income	(1,000)	(833)	(15,722)	(18,000)
	<b>(4,000)</b>	<b>(3,333)</b>	<b>(15,722)</b>	<b>(18,000)</b>
				<b>(14,000)</b>
<b>NET EXPENDITURE</b>	<b>2,664,600</b>	<b>2,203,081</b>	<b>2,101,218</b>	<b>2,665,840</b>
				<b>1,240</b>

Useable Reserves at 1st April 2011

## January Outturn

### Analysis of actual variation to Budget

#### Employee

(Single status implementation date January - full year budgeted)  
(Management of vacancies target exceeded)  
Voluntary Severance Lump Sum Costs £115K  
Appeals outstanding

**Underspend**

#### Property costs

Additional service costs estimated this year

**Overspend**

#### Transport Costs

Minor variances

**Underspend**

#### Supplies and Services

Minor variances

**Overspend**

#### Administration

Additional Election postage costs off-set by additional income

**Overspend**

#### Computer Equipment

Additional Software maintenance costs - 50% to be recharged to constituent authorities

**Overspend**

#### Third Party Payments

Aligning payment to Stirling council for recharge of Convenor to in year charge

**Overspend**

#### Support Services

Additional costs associated with implementation of Single Status and Appeals Process

**Overspend**

#### Income

Additional income due to recharge of Election costs and Pervasive

**Underspend**

**Estimated outturn position at 31st March 2012**

**Overspend**

**Estimated Useable Reserves at 31st March 2012**

## **AGENDA ITEM 3**

### **CENTRAL SCOTLAND VALUATION JOINT BOARD**

**Subject: POST OF DEPUTE ASSESSOR**  
**Meeting: CENTRAL SCOTLAND VALUATION JOINT BOARD**  
**Date: 24 FEBRUARY 2012**  
**Author: BRIAN BYRNE, ASSESSOR AND ELECTORAL REGISTRATION OFFICER**

#### **1. INTRODUCTION**

- 1.1 The purpose of this Report is to advise members of the outcome of the recruitment and selection process for the post of Depute Assessor.

#### **2. BACKGROUND**

- 2.1 The Joint Board agreed on 9 September 2011 following the retirement of Ian Balance, Depute Assessor to authorise the Appointments Committee to undertake the recruitment and selection of a new Depute Assessor.

#### **3. APPLICATIONS**

- 3.1 An advertisement for the post was placed on the MyJobScotland web portal, and information on the post was circulated to all Assessors' offices in Scotland.
- 3.2 The closing date for the receipt of applications was 11 November 2011. At the closing date 8 applications had been submitted.

#### **4. SHORT-LISTING PROCESS**

- 4.1 The Appointments Committee met on 18 and 23 November 2011 and agreed to invite 3 applicants to attend the final selection stage.

#### **5. INTERVIEWS AND ASSESSMENT**

- 5.1 At the meeting of the Appointments Committee held on 23 November, it was agreed that the final stage of the selection process would comprise of a 16 PF personality test which would be undertaken prior to interview with feedback

provided on the day of the interviews. Candidates would also be asked to give a presentation on a topic which will be provided on the day of the interviews. Following the presentation, candidates were asked a number of set questions.

- 5.2 Candidates were then interviewed by the Appointments Committee on 1 December 2011.

## **6. APPOINTMENT**

- 6.1 At the conclusion of the process, the Appointments Committee agreed to appoint Mr Peter Wildman to the post of Deputy Assessor.

## **7. RECOMMENDATION**

- 7.1 The Joint Board is invited to note the appointment of Mr Peter Wildman to the post of Deputy Assessor, Central Scotland Valuation Joint Board.

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**Brian Byrne, Assessor and Electoral Registration Officer**

Date: 14 February 2012

Contact Officer: Brian Byrne (01786) 892201

### **LIST OF BACKGROUND PAPERS**

Minute and Report to Valuation Joint Board – 9 September 2011  
Minute and Report to Appointments Committee – 14 October 2011  
Minute and Report to Appointments Committee – 18 and 23 November 2011  
Report to Appointments Committee – 1 December 2011



## **AGENDA ITEM 4**

### **CENTRAL SCOTLAND VALUATION JOINT BOARD**

**Subject: Risk Assessment Report**  
**Meeting: Central Scotland Valuation Joint Board**  
**Date: 24<sup>th</sup> February, 2012**  
**Author: Brian Byrne, Assessor/Electoral Registration Officer**

#### **1.0 Introduction**

- 1.1 In November 2010 the Joint Board approved the Risk Management Strategy. Its main purpose was to identify potential risks before they occur, to then establish the potential consequences and finally determine the nature of the Joint Board's response to those risks. There are very good management and operational reasons for having such a strategy. It allows the Management Team time to carefully consider and evaluate risks before they occur, make informed decisions on what resources and actions are required and the priority to be given to those actions. This ensures good strategic planning of resources resulting in financial and operational efficiency.
- 1.2 The internal audit report to the Board of June 2010 recommended that the Risk Strategy will be presented annually to the Valuation Joint Board with regular updates on risks in other meetings. A copy of the unchanged Risk Strategy is available as a Background Paper.

#### **2.0 Recent Amendments to Identified Risks**

- 2.1 The latest Risk Analysis for all risks with initial "Risk Score" of 4 or more are shown in the appendix 1 along, with any recent changes to "Existing Controls" or "Required Actions". The recent changes are shown in red text.
- 2.2 The specific "Elections 2012 Contingency Planner and Risk Register" is constantly updated and the latest version February 2012 is shown in appendix 2.

### **3.0 Recommendations**

- 3.1 It is recommended that the Valuation Joint Board note the updates to identified risks.

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**Brian Byrne**  
**14 February, 2012**

### **Appendices**

1. Extract from Risk Analysis
2. Updated Contingency planner for Elections 2012

### **Background Paper**

Risk Strategy approved (26 November 2010)

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
1	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		All
3	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	Mar-12	All
4	Technological	Failure of communications between office and mirrors	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		All
6	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 system	3	Assistant Assessor and Depute ERO		All
7	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 staff	2	3	6	Review and update service plan/Manual. Use Halarose to supply additional support. Liase with RRO for Euro elections (Done). Liase with RO and EMB at each election (next election is May 2012)	3	Depute ERO	May-12	Electoral

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
8	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 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 (now Cabinet Office) 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) - All of this is affected by and possibly over ruled by individual registration (effective from 2014) and will need full review by then	4	ERO	Dec-13	Electoral
9	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 <b>changes made November 2011</b>	4	ERO/Depute ERO	Mar-12	Electoral
10	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	4	Assessor & Office Manager		all
99	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. Following these early discussions arrange for sufficient staff and other resources to be	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, and any need for manual processing of pull outs and supplementary lists is minimised. As part of this a full read-in	4	Depute ERO	<b>Review Early 2012</b>	Electoral



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
11	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. Plans reviewed in 2010, risks reviewed regularly	2	Management Team	ongoing but full review in March 2013	all
12	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. The proposed 5 year voluntary phase starting in 2010 has been abandoned - Cabinet Office now planning on introduction in 2014 but wish to carry out data pilots before then. ERO is a member of the Project Reference Group and attends regular meetings with Cabinet Office. Awaiting report on pilots and response to consultations submitted October 2011	2	2	4	Continue involvement through SAA, AEA and directly to ensure that plans are practicable and that any additional costs are met as far as possible directly by Cabinet Office. <b>Now awaiting Government response to consultation proposals (Oct 2011 - Feb 2012)</b>	4	ERO	<b>Legislation early 2012</b>	Electoral
13	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 successful there is a risk of data loss in dealing with legally entitled recipients who are not familiar with such security. Investigate increased use of other technologies such as SFTP - to be discussed with Depute ERO and IS in 2010. SAA now investigating use of secure FTP - 2011	4	Office manager (for new staff) Depute ERO and Assistant Assessor for external	Mar-12	All
14	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)	4	Depute Assessor/IT Team/CSR		All
16	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

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
17	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. <b>Management training being sourced for 2011/12</b>	2	Depute		All
18	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. Pervasive database upgrade carried out in 2011 and linked to agreed Service Level Agreement apportionments	4	ERO, Depute ERO		Electoral
19	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. All senior electoral registration staff have been	2	2	4		4	ERO/Depute ERO		Electoral
21	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. <b>Electoral:</b> All staff have access to guidance notes and EC training manuals. Procedures are reviewed after each election and canvass. Assistant Assessor now undertaking AEA Diploma Course. ERO, Depute ERO & Assistant Assessor all members of AEA and Halrose Users group , ERO & Depute ERO active members and participants in SAA Electoral Registration committee. ERO member of EMB.	2	2	4		2	ERO		Electoral

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
21.5	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).	2	2	4			Assessor		Valuation
22	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. RO's staff have been requested to ensure realistic timetables are agreed when print contracts are agreed. 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. (See specific election risk register)	4	Depute ERO		Electoral
23	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 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 passwords never requested to access. Local Government elections for May 2012 will result in more copies of ward due to number of likely candidates. January 2012 - Dates agreed with Parties for 2012 elections - 14th March, 20th April, and 27th April	4	ERO	Apr-12	Electoral

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
24	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 updated with canvass changes & Depute ERO creates a fixed CC register for the areas requested as at 1st September.	2	2	4		4	ERO	annually September	Electoral
25	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	CSR group		Valuation
26	Environmental	Inefficient use of resources	Monthly meeting with accountant and Office manager. Joint Framework agreement agreed. Use tendering where appropriate.	2	2	4		4	Assessor/Management team		All
28	Financial	Lack of funds/budget cuts	Monthly meeting with accountant and Office manager. Early preparation of Budget - 3 year budgeting	2	2	4		4	Assessor		All
30	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	Assistant Assessor		All
31	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 - Caveats confirmed for 2011/12	4	ERO		Electoral
32	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	Assistant Assessor/Office Manager	Mar-12	all

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
33	External	Late direction by EMB (or as in 2011 by Electoral Commission). Potential conflict if EMB requirements conflict with arrangements already	Membership of EMB (directly or through SAA) to influence and keep in touch with possible late changes	2	2	4		4	ERO		Electoral
34	External	Out of date Corporate Address Gazetteer resulting in moving away from electoral 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	4	Assistant Assessor and Depute ERO		Electoral

Red text indicates fairly recent new items or comments

indicates ER performance standards

indicates significant to Electoral (particularly affecting elections from 2009)

indicates Health and Safety

See separate documents for specific election risks and contingencies

# **Electoral Registration** Contingency planner and risk register

## Local Authority Elections 2012

Date: July 2011 (updated February 2012)

Author: Brian Byrne

Document version: 02/12

## Defining the level of impact and likelihood of risk

The risk assessment grid

	Impact		
Likelihood	High (3)	Medium (2)	Low (1)
High (4) (certain)			
High (3) (probable)			
Medium (2) (possible)			
Low (1) (unlikely)			

The risk assessment process requires a subjective judgement to be made on the potential impact and likelihood of the risks identified in the risk register. When this is completed, the likelihood should be multiplied by the impact to provide a rating for each risk. **For example:**

Risk description	Likelihood	Impact	Rating	Contingency/action	Responsible officer	Review date
Loss of polling place – school destroyed by fire prior to election. Example only	2	3	6	Identify alternative polling place/order mobile polling station/portacabin Contact electors, erect signage		

### Electoral Registration Service contingency planner and risk register.

Some elements of these risks are at the interface between Registration and Election Management and should be co-ordinated with the Election Management contingency plans

Risk description	Likelihood	Impact	Rating	Contingency/action	Responsible officer	Review date
<b>1. Challenge to the election</b>						
1.1 Legal action against the ERO (especially in regard to prisoner disenfranchisement)	2	3	6	<ul style="list-style-type: none"> <li>Legal support – monitor awareness of issues among currently available legal team. Currently Clacks Legal Services are very well aware of the issues and have been involved in defending the EROs decisions on this matter at the highest level.</li> <li>Effective training of senior staff to recognise potential issues</li> <li>Lodging continuous “caveats” with local courts and Court of Session.</li> <li>Liaise with other EROs and through EMB be aware of current campaigns and legal decisions</li> </ul>	ERO	Feb 2012



## Appendix 2

2. Data security						
2.1 Loss of data in transit	2	3	6	<ul style="list-style-type: none"> <li>• Ensure all transfer of data is encrypted</li> <li>• Use SFTP transfer to printers</li> <li>• Ask for personal collection of printed versions of the register (get receipt)</li> <li>• Any email or CD transfer must be encrypted (using 7zip rather than weaker formats)</li> <li>• Transfer on behalf of ERO to a supplier must be under a contractual relationship or legal requirement.</li> <li>• Any transfer on behalf of RO must be sanctioned by pre-agreed timing and to named supplier. Need for RO to approve in advance that ERO may transfer data directly to named service provider if necessary. Check that RO has a contractual relationship with the supplier. Ensure that data protection matters are covered by the contract between RO and Printer</li> </ul>	<p>Depute ERO (as Data Protection officer)</p> <p>Returning Officer for any council contracts</p>	<p>From Oct 2011</p> <p>Feb/Mar 2012</p>

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				<ul style="list-style-type: none"> <li>• Particular care with this in view of Scottish Government contract with Logica</li> <li>• Make training provision to ensure all staff are aware of their legal responsibilities around the supply of information</li> <li>• Ensure that transfer of data between ERO and RO is via "HALAPP" folders and ensure that only nominated RO staff have access to this folder</li> <li>• RO staff must remove data daily from "Halapp" folders or when advised and save to a secure location. As such data can cause back-up failure it will be removed as part of the overnight back-up procedures. Remind RO staff of this.</li> </ul>		
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3. External action						
3.1 Planned industrial action which would impact on the availability of some staff	2	2	4	<ul style="list-style-type: none"> <li>• Ensure project plan allows for delays when some staff may not be available</li> <li>• Develop plan to identify</li> </ul>	ERO/Depute ERO	From Aug 2011

## Appendix 2

				<p>alternative resources as far as possible to provide alternative staff cover.</p> <ul style="list-style-type: none"> <li>• Work out contingencies to cover the situation where industrial action is scheduled for key election dates</li> </ul>		
3.2 Lack of awareness and insufficient planning for new legislation and changes in legislation or guidance	1	3	3	<p>Awareness of and input to Scottish Government policy through SAA &amp; AEA. Good communications with appropriate UK Departments such as Cabinet Office, Scotland Office for statutory functions that may affect the election (e.g. prisoners) and departments (e.g. Finance, HR/personnel, RO) of the 3 Councils for non-statutory matters.</p> <p>Encourage all EROs' involvement in the Electoral Management Board. Keep software supplier (Halarose) aware of pending developments.</p>	ERO	ongoing

## Appendix 2

3.3 Boundary changes	4	2	8	Ensure GIS within office can provide the required service.	Depute ERO	From June 2011
				<p>Persuade Councils to have all reviews concluded, published and implemented before 1<sup>st</sup> November 2011. Falkirk review implemented for 1<sup>st</sup> December.</p> <p>ROs should double check any boundary changes (Falkirk PD review), per Electoral Commission report of October 2011 into Scottish Parliamentary Elections, to ensure boundary changes feed through correctly to polling places allocation.</p>	Falkirk Election Team/ Depute ERO	Dec 2011 onwards

<b>4. Loss of premises</b>						
4.1 Office (wholly or partly)	1	3	3	<ul style="list-style-type: none"> <li>Develop and improve the Business continuity plan</li> <li>Prepare list of alternative venues, including making standby arrangements if necessary</li> <li>Ensure that contingency arrangements are DDA compliant</li> </ul>	Assistant Assessor and Office Manager	From June 2011

## Appendix 2

				<ul style="list-style-type: none"> <li>• Confirm access to communications (e.g. mobile coverage, available landline)</li> <li>• Check facilities (heating, power, toilets etc.) and fire and security arrangements</li> <li>• Share RO &amp; ERO Business Continuity plans to ensure continuing contact</li> </ul>		
<b>5. Failure of IT provision</b>						
5.1 System failure	2	3	6	<ul style="list-style-type: none"> <li>• Detailed comprehensive and strict back-up regime to disc and/or tape for storage in fire proof safe or off-site</li> <li>• Ensure hard copies of data are available</li> <li>• Maintain a duplicate system capable of replacing the original at short notice or if unaffected by the initial failure to be available almost immediately as a mirror</li> <li>• Halarose can access &amp; provide service via VPN if required</li> <li>• Upgraded Pervasive database in Nov 2011</li> </ul>	Depute Assessor  Depute ERO, IT, Office Manager	ongoing

## Appendix 2

5.2 Network failure	2	3	6	<ul style="list-style-type: none"> <li>standby arrangements with contractor and in-house IT providers</li> </ul>		
5.3 Printers / scanners malfunction	3	2	6	<ul style="list-style-type: none"> <li>Ensure printers and scanners have maintenance agreements and serviced if necessary, spare toner available, etc. before election commences.</li> </ul> <p>Printer serviced in December 2010 and warranty renewed. New call out warranties established for the two main scanners – service was not required for the warranty. A third stand alone scanner is in use on top floor.</p> <p>We need two scanners to cope with the expected workload, the provision seems adequate – however review the provision in late March early April, as unnecessary early servicing can itself be a risk.</p> <ul style="list-style-type: none"> <li>Check on service for main printer (Apollo) February 2012</li> <li>Call out service warranty renewed in December 2011</li> <li>Use identified alternative printers and scanners within the building and ensure</li> </ul>	Office manager/IT	ongoing

## Appendix 2

				<p>necessary network connections are in place by Feb 2012.</p> <ul style="list-style-type: none"> <li>One additional dedicated scanner (for canvass use) to be purchased in February 2012 and will then have sufficient scanning capacity that a breakdown of one scanner will not delay processing unduly.</li> </ul>		
5.4 IT office affected by flood, fire, vandalism, etc.	1	3	3	<ul style="list-style-type: none"> <li>Review business continuity plan (BCP) and security arrangements</li> <li>BCP plan pack held elsewhere e.g., senior officer's homes and Council office</li> <li>Keep documentation on how to perform functions manually up to date</li> <li>Consider more formal arrangement with supplier for alternative emergency accommodation</li> </ul>	Assistant Assessor & Office Manager	Dec 2011

## Appendix 2

5.5 Telecom/fax failure	2	2	4	<ul style="list-style-type: none"> <li>In the quarter before election date as part of BCP set up redirection service to mobile phones or alternative location (FAX). For short notice election set up a partial redirection service immediately.</li> <li>Follow up on 31 January 2011 email from Office Manager to Clive Madge of THUS to follow up on previous advice. Then confirm position remains the same</li> </ul>	Office Manager	Jan 2012
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<b>6. Security and fraud issues</b>						
6.1 Loss of key documentation papers, etc.	2	2	4	<ul style="list-style-type: none"> <li>Ensure office kept locked outside of office hours</li> <li>use safe and locked cupboards for storage of key documentation</li> </ul>	Office manager	ongoing
6.2 Unauthorised access to office	1	2	2	<ul style="list-style-type: none"> <li>Maintain a list of authorised key holders and others entitled to access the office</li> <li>Change access codes regularly and whenever staff leave.</li> </ul>	Office manager	ongoing



## Appendix 2

6.3 Any accusations of fraud	1	2	2	<ul style="list-style-type: none"> <li>• Keep in touch with local SPOC at least once in the year (previous contact June 2011) plus contact regarding registration issues in Sept 2011</li> <li>• Make contact with local police SPOC in advance of the election period. contacted Feb 2012</li> <li>• Develop media strategy for use in the event of accusations being made</li> </ul>	ERO/Depute ERO	Sept 2011
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<b>7. Failure on part of contractor</b>						
7.1 Printers (Poll cards and registers)	2	2	4	<ul style="list-style-type: none"> <li>• Prepare list of approved contractors</li> <li>• Check out performance of potential suppliers, including any sub-contractors, with other major clients</li> <li>• Consider visiting selected printer premises to inspect capacity, set up and processes</li> <li>• Check printers project plan and quality management processes</li> <li>• Consider contingency arrangements to print products</li> </ul>	Depute ERO	From June 2011

## Appendix 2

				<p>elsewhere in the event of non-delivery (including in-house)</p> <ul style="list-style-type: none"> <li>• Ensure rigorous contracting arrangements are in place, also covering any sub-contractors</li> <li>• Ensure supplier is aware of and takes account of data protection issues</li> <li>• Even if continuing with previous printers, check/monitor as thoroughly as would with a new printer</li> <li>• Test files to be provided and approved</li> </ul>		
7.2 Stationery/equipment, etc.	1	1	1	<ul style="list-style-type: none"> <li>• Review existing stock levels and prepare inventory</li> <li>• Place orders to replenish stocks</li> <li>• Arrange early planning meeting with provider to confirm overall requirements ) (Dec 1011)</li> <li>• Check wording of official documents to ensure compliance with legislation</li> <li>• Depute ERO to check that our website and stationary stock are current versions</li> <li>• Confirm that RO staff have</li> </ul>	Office Manager/ Depute ERO/	<p>From June 2011</p> <p>Oct 2011</p> <p>Nov 2011</p>

## Appendix 2

				checked that only current versions of forms are provided in libraries and available via Council websites		
7.4 Royal Mail (Poll Cards )	2	2	4	<ul style="list-style-type: none"> <li>• Establish contact with Account Manager</li> <li>• Set up regular review meetings with Royal Mail</li> <li>• Ensure early receipt of business reply numbers, etc.</li> </ul>	Depute ERO/Office Manager.	From August 2011

<b>8. Poll cards</b>						
8.1 Inclusion of inaccurate or incomplete information	2	2	4	<ul style="list-style-type: none"> <li>RO staff to check their polling scheme files before advising Depute ERO when to extract files. Any addresses not in polling scheme cannot be extracted for printers</li> <li>Early agreement with election offices on issue date of polling cards. Early issue is recommended. Latest date has been directed by EMB (by 2 April 2012)</li> <li>Early agreement on wording for each version of poll-card. Final</li> </ul>	Depute ERO/  Election Office Stirling on behalf of all	From Dec 2011  From Nov 2011

## Appendix 2

				<p>versions to be sent to printers immediately after the agreed deadline. (Feb 2012)</p> <ul style="list-style-type: none"> <li>• Have alternative wording on standby.</li> <li>• Decide as part of election planning whether certain poll cards will be printed “in-house” or as part of contract with supplier (proxy poll cards, postal proxy poll cards, anonymous poll cards)</li> <li>• Agree export formats with printer and selection criteria (whether overseas address selected separately or not)</li> <li>• Robust proofing procedures including ERO &amp; each RO to have access to printer’s SFTP site for data transfer and proof checking.</li> <li>• Include quality checks in contract or in any in-house arrangements prior to issue</li> <li>• Confirm contingency arrangements with supplier</li> <li>• Reprint poll cards or consider alternative means of notification of all relevant</li> </ul>	<p>three Councils</p> <p>Depute ERO/</p>	<p>From Oct 2011</p>
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## Appendix 2

				<p>details (e.g. by letter)</p> <ul style="list-style-type: none"> <li>• Ensure our own large printer is available as contingency (to issue by letter) or to use for anonymous or other unusual cards if not part of suppliers service (IBM call out service in place)</li> <li>• Ensure RO and polling staff are aware of the fact that details on the issued poll card can be changed in the register by election day. Although a new card or letter may be issued the old one cannot be withdrawn and an elector may mistakenly (or deliberately) turn up with the old card</li> <li>• <del>(Falkirk intends to review their polling scheme in time for publication date of 1<sup>st</sup> December. However there is a risk of delay which may require re-publication of the Falkirk register in February or March. ERO has written to Depute RO with details of the disruption caused to users of the register by re-publication just before an election and DERO has given indication of the cost. The main issue is disruption to users and this is understood by DRO.)</del> Falkirk PD scheme approved by Council in October 2011.</li> <li>• Start testing systems in January/February 2012 (see email from RT to 3 election</li> </ul>	<p>ERO/ Depute ERO</p>	
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## Appendix 2

				offices 17 January 2011 for template). Test again after any re-publication		
8.2 Problems (or past problems) with delivery	2	2	4	<ul style="list-style-type: none"> <li>• Maintain regular contact with Royal Mail or other distributor</li> <li>• Discuss alternative options for emergency hand delivery, in limited problem area, with Returning Officer staff or any other alternative provider. For example to cover the loss of a polling station.</li> </ul>	Depute ERO/	From August 2011

<b>9. Postal votes</b>						
9.1 Actions of Political canvassers	2	2	4	<p>Attend any pre-election briefing by ROs for Parties and candidates to emphasise the importance of the relevant guidelines in safeguarding the voters' interests</p> <p>Watch for suspected improper use of business reply</p>	ERO	From March 2012 ongoing

## Appendix 2

				Through Electoral Commission and PPP raise awareness of potential problems with Absent votes		
9.2 Absent Vote data supply problems	3	3	9	<p>Work out a detailed plan to ensure that data is supplied as early as possible. Agree this plan with ROs; indicating where the risks lie.</p> <p>For example set a time limit by which no more input of postal votes received on the last day will be accepted. Check and produce a register at that time, store and produce the absent vote list from that register and send data to each supplier.</p> <p>After data is accepted, resume input of any outstanding absent votes to produce the “pull out” list. This ensures that data is sent as early as possible but can result in additional “pull out” work for printers ROs and ERO.</p> <p>The EMB has indicated (November Election Bulletin) that all postal votes should be issued by 23 April 2012. (This is potentially in conflict with legislation and EC guidance, but probably just means the main or bulk</p>	ERO/Depute ERO	From August 2011

## Appendix 2

				<p>issue rather than literally “all”)</p> <p>Discuss with RO staff &amp; printers proposed timetables for supply of any early list &amp; system for pulls and additional postal vote data. The plan should include a procedure &amp; solution with RO staff re changes in register up to midnight after absent list closes at 5pm for electors with postal votes (Name changes and /or address changes)</p> <p>Need to establish number of data transfers to printers</p> <p>Once agreed, any later suggestions from RO staff, for example regarding “pull outs”, that are incompatible with this plan should be referred to the ERO and the appropriate RO.</p> <p>It is important to note that the time taken by the system to produce a register, store absent vote lists, and to verify receipt of data can be several hours; so it may be necessary to set the “no more update” limit close to, or earlier than, the 5pm deadline for applications, depending on the data receipt “slot” agreed by ROs.</p>		
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## Appendix 2

				<p>As in 2010 and 2011 arrange overtime working where necessary to ensure that all postal vote applications are added to the system on day of receipt - including weekend working to prevent backlog building up on Saturdays. This worked well in 2010, during an upsurge in interest and if repeated will mean that an early cut off will only affect applications received on the last day, although that could still be considerable numbers. As in 2011 if there is no surge in interest overtime can be scaled back.</p> <p>Obtain written confirmation of requirements in data format direct from the printer/supplier – do not rely only on information from RO staff or memory of previous elections. Where there is a difference report it to ERO.</p>		
9.3 Verification of identifiers delaying the count	2	3	6	<ul style="list-style-type: none"> <li>As part of election plan ensure that Election teams request an early copy of images for testing and have an agreed timetable for such tests.</li> </ul>	Depute ERO	January 2012

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				<ul style="list-style-type: none"> <li>Suggest that after the election those rejected which need further investigation to be forwarded to SPOC and or Team Leader as necessary within 30 days</li> </ul>		
9.4 Major system failure (ROs system)	2	2	4	<ul style="list-style-type: none"> <li>Transfer data including images to “Halapp” folders. Confirm that RO staff can then access a secure copy via any required laptop or other contingency. If “Halapp” is unavailable for transfer of such large files copy to CD/DVD as necessary (encrypted) and hand deliver to named contact.</li> </ul>	Depute ERO	April 2012

<b>10. Staffing</b>						
10.1 Insufficient competent staff	2	2	4	<ul style="list-style-type: none"> <li>Early agreement on staff availability</li> <li>Well documented recruitment procedures</li> <li>Comprehensive training programme carried out early</li> </ul>	Depute ERO	August 2011
10.2 Insufficient staff to deal with registration applications	2	2	4	<ul style="list-style-type: none"> <li>Daily monitoring of mail , e-mails etc - including</li> </ul>	Depute ERO/ ERO & Team	Generally from

## Appendix 2

received close to the 11 day deadline				<ul style="list-style-type: none"> <li>assessor's portal addresses</li> <li>• Authorise overtime as required to ensure no backlog occurs</li> <li>• Second staff from Assessor and Councils if necessary. Secondment of other VJB staff to electoral duties worked well in 2011 and should be repeated in 2012</li> <li>• Ensure VJB staff have sufficient skills to be able to assist by secondment at canvass time in 2011</li> </ul>	Leader	August 2011 Practice in place from January 2012
10.5 Mistakes by inexperienced staff or by staff not fully aware of changes to legislation	3	2	6	<ul style="list-style-type: none"> <li>• Training to be scheduled for all registration related staff to ensure competence to undertake duties.</li> <li>• Provide guidance notes to relevant staff</li> <li>• Carry out election refresher training for core staff during the six months prior to the election</li> <li>• Checking system is in place to ensure that every application is verified by 2 staff members</li> <li>• Share details of staff training documents between ERO &amp; RO staff. PO's etc</li> </ul>	Depute ERO	From Dec 2011
10.6 Over reliance on key staff	2	3	6	<ul style="list-style-type: none"> <li>• ERO and Depute ERO</li> </ul>	Management	ongoing

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				<p>membership of SAA ER committee as source of advice on shared election issues. Dissemination of that advice to other key staff</p> <ul style="list-style-type: none"> <li>• Ongoing development of procedures manuals/instructions</li> <li>• Similarly ERO Depute ERO and Assistant Assessors membership of AEA</li> <li>• Encouragement of Election teams to use ERO Team Leader as main point of contact for most issues (especially postal voting)</li> <li>• Team Leader to attend meetings with RO staff and with suppliers.</li> <li>• Identify named deputies for RO senior staff and obtain up-to-date structure lists. Share contact details with Election Teams.</li> <li>• All VJB staff to be provided with a checklist to allow completeness checks on hand delivered application forms so that they can be verified as</li> </ul>	Team	
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## Appendix 2

				<ul style="list-style-type: none"> <li>fully complete before the elector leaves the building</li> <li>This checklist to be provided to Council staff for similar use.</li> </ul>		
10.7 Problems with access rights to the Halarose Eros system	3	2	6	<ul style="list-style-type: none"> <li>There is a balance to be struck between access and security. Tighter control since 2009 by the administrator has protected ERO and RO data but we should investigate the specific areas where control may now be capable of relaxation</li> <li>Experience in 2009 was that access allowed for one reason resulted in damage to other Councils' and ERO's core areas.</li> <li>ERO to identify areas where Halarose Eros access can be open to non administrators in ERO staff (subject to Halarose amending the system) (Halarose upgrade November 2011 amended to limit to "offices")</li> <li>Depute ERO has previously requested RO staff to provide details where direct access is required. Ensure all are aware</li> </ul>	ERO	<p>July 2011</p> <p>Nov 2011</p>

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				<p>of the Halarose arrangements for "Office" demarcation for security.</p> <ul style="list-style-type: none"> <li>• Until satisfied that the demarcation system is secure and reliable any requests can be made via Depute ERO (as system administrator) for consideration of the potential impact on ERO data and other Councils' data. The IT team and Halarose (via VPN) can also act as administrators to carry out the specific task in the absence of the Depute ERO.</li> <li>• Ideally Councils should nominate local administrators for adding, deleting staff and password control.</li> </ul>		
10.8 Not closing down Eros processes; preventing later user login.				<ul style="list-style-type: none"> <li>• This caused several problems early in the 2010 election as RO staff began to set up elections. Halarose has implemented a solution suggested by the IT team and this seems to have removed the problem from 2011. However as busier election times</li> </ul>	Depute ERO	Jan 2012

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				approach all staff (ERO and RO) should be reminded to close down processes or if unable to do so for some reason, report this to the ERO's IT team so that any ensuing problem can be rectified or allow back-up processes to be temporarily rescheduled		
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11. Polling day						
11.1 Polling day enquires from the public or from election staff	4	1	4	<ul style="list-style-type: none"> <li>• Ensure expert staff available on election day</li> <li>• IT availability on election day depending on RO requirements</li> <li>• If not requested – prompt ROs to prevent late request</li> <li>• Ensure IT and other staff are aware of named contacts in Election Offices</li> <li>• Pre agree (well before the election) with election offices the procedures for correcting clerical errors</li> </ul>	ERO/Depute ERO	From Dec 2011
11.2 Problems with voter dissatisfaction or aggressive	2	2	4	<ul style="list-style-type: none"> <li>• Provide guidance to frontline staff, including FAQs to assist</li> </ul>	Team Leader	Dec 2011

## Appendix 2

behaviour				<ul style="list-style-type: none"> <li>with giving answers to common queries</li> <li>• Provide guidance on dealing with aggressive customers, drawing on resources developed by other council departments</li> </ul>		
11.3 Mistakes by RO staff, PO, & PC	3	2	6	<ul style="list-style-type: none"> <li>• Suggest ERO staff are involved in pre-election training so that it covers relevant aspects of registration and register display (agreed with Stirling for 2012)</li> <li>• Ask for draft of election notices and Council advertising of registration before publication.</li> <li>• Avoid using registration “jargon” when dealing with inexperienced RO staff. They may not hear what you think you are saying and this can lead to mistakes or misunderstandings. For example the Halarose activity “Storing Postal Votes” at the very end of postal voting processing may be wrongly interpreted as “stockpiling postal vote applications”</li> <li>• Feedback forms from Election</li> </ul>	Depute ERO	Aug 2011



## Appendix 2

				<ul style="list-style-type: none"> <li>Day staff re problems to form part of post election review.</li> <li>Post election review to be held within 6 weeks of polling day</li> </ul>		
11.4 Polling station fire or similar disruption during election day	2	3	6	<ul style="list-style-type: none"> <li>If register destroyed, duplicate can be provided by RO staff from original copy supplied, or can request Depute ERO to provide a fresh copy.</li> <li>Alternative polling station, contact press, electors, signage</li> </ul>	Election Team (Depute ERO if requested)	As required

## **AGENDA ITEM 5**

### **VALUATION JOINT BOARD FOR CENTRAL SCOTLAND**

**Subject: Elections Report**  
**Meeting: Central Scotland Valuation Joint Board**  
**Date: 9 February 2012**  
**Author: Russell Taylor, Depute Electoral Registration Officer**

#### **1.0 Introduction**

This report outlines the planning and procedures in place for the forthcoming election on May 3<sup>rd</sup> 2012.

#### **2.0 Report on Electoral Work**

The ERO & Depute ERO has met with Returning Officer (RO) staff in each council to agree procedures necessary for the council elections on May 3<sup>rd</sup>.

RO staff are responsible in law for running the election, however local practice has evolved so that some of those duties are undertaken by the Depute ERO and his staff. This report is to highlight the arrangements made and the current situation in regard to Electoral Registration and Absent Voting.

#### **3.0 Election Details**

The electoral registration staff have used the Halarose (EROS) electoral registration and management system since it was purchased in 2006. RO staff, prior to an election, add their elections, polling scheme, etc to the system which integrates with the registration process to allow poll cards, postal votes, registers and statistics to be extracted when required. Clackmannanshire and Stirling Councils also add all their staff to the system and use it to manage staffing in polling places and at the count.

Joint working is essential to ensure that the election is added at the correct time to the live system and that it has the correct eligible dates and the correct eligible electors are able to vote in that type of election (European citizens, Lords and Overseas Electors have restricted voting rights). Only Overseas Electors are not eligible to vote on May 3<sup>rd</sup>.

## **4.0 Polling Scheme**

RO staff add their polling scheme for each election to the computer system and, once checked by them, poll cards can be extracted and sent to the printers for posting at the agreed dates.

Where polling places have changed this can be highlighted by the RO by adding text to the relevant polling places.

## **5.0 Poll Cards**

Although the production and issue of poll cards is a designated RO function the Depute ERO arranges, with our selected printer, for the printing and postage of all poll cards and postal poll cards for an election. Because of the smaller volumes the ERO arranges for the in-house printing and local posting of poll cards or letters to postal proxy voters, proxy voters and anonymous electors.

This year the Depute ERO has secured agreement of the ROs to use TNT to collect the poll cards from our printers before passing to Royal Mail for delivery. This arrangement is expected to result in an estimated saving of over £1,500.

The printers have been sent the draft poll cards which contain the variable contact data for each RO and the statutory last dates for registration and applying for postal and proxy votes. The postal poll card also lists the dates and arrangements for replacement ballot papers which have been directed by the Electoral Management Board (EMB).

The poll cards list the ERO's contact details on all the types of poll card and it is his staff who receive the majority of telephone calls, emails, etc in regard to registration and absent voting enquiries.

Test files and then live data are sent to the printers by the Depute ERO at the agreed dates.

The data cannot be sent until RO staff have added the polling scheme to the database (EROS) and checked that each street and address is included in their polling scheme as any omissions will not receive a poll card.

All the printing costs, plus the postage costs of the poll cards sent locally, require to be identified for each RO as the ERO arranges payment and then has to arrange for an invoice to be sent for payment to each RO.

Poll cards are created and posted before an election register is finalised. (For May 3<sup>rd</sup> election this year our poll card data will be sent to the printers on 13<sup>th</sup> March for posting no later than 30<sup>th</sup> March but the last date for registration is 18<sup>th</sup> April).

Electors who will be added to a new address between 10<sup>th</sup> March and 18<sup>th</sup> April receive a letter notify them that they have been added at their new address (and removed from their old address). The letter advises electors to contact the ERO if they need to know their new polling place.

Should a change to a polling place be made after the poll cards are printed then RO staff can make the database change and, if time permits, contact the ERO or their printers to request that new poll cards are printed and posted or that letters are issued to electors notifying them of the change.

## **6.0 Absent Voting**

This includes voting by post, proxy and postal proxy.

All applications to vote by post are dealt with by ERO staff. Any forms received by RO staff must be forwarded to the ERO to check and action as necessary.

The receipt of “duplicate” postal vote forms for existing postal voters can impact detrimentally on processing new valid applications due to the time spent checking these forms. (Legally they must replace the previous application therefore they must be scanned and updated in order that the latest form is available to check against the returned security statement).

For the May 3<sup>rd</sup> elections all ballot papers will be printed by Logica/Opt2Vote as a national contract was negotiated by the Scottish Government and agreed by ROs.

In this area only Stirling Council has an agreement with Opt2Vote to issue their postal ballot packs. Clackmannanshire and Falkirk have a contract with Adare who will receive the printed ballot papers from Adare and will then require to check, fold and envelope before posting the ballot packs. This is the first time these arrangements will have been used and a number of critical points of failure have been identified as risks to a successful election. The EMB have raised their concerns with Logica/Opt2Vote and the Scottish Government.

ERO staff will keep details of any cancellations or amendments to existing postal voters from the original date information is sent to Adare until 18<sup>th</sup> April, to notify the printers to withdraw or amend the ballot packs before issue. As the RO employs the printer it is the responsibility of the RO staff to ensure that the printers carry out their instructions as required and the Electoral Commission (EC) has recommended that each RO sends staff to their printers to check the output prior to mailing.

All new successful applications for a postal vote are sent an acknowledgement letter by the ERO.

All applications received too late for an election must be advised, in writing, by the ERO as soon as possible. Letters are issued which, if appropriate, advises electors of their entitlement to apply to vote by proxy before the relevant closing date.

## **7.0 Issue of Ballot Papers**

This is an RO function which they arrange with their appointed printers.

Replacement ballot papers are issued locally by RO staff.

## **8.0 Registration of Electors**

All applications to register to vote are processed by ERO staff. Applications have been accepted by post, in person, by fax and by scanned email attachments for a number of years provided that they contain all the relevant data and can be read.

Applications received by midnight, 11 working days before polling day, must be included in the Register of Elector being used on polling day (18<sup>th</sup> April for 3<sup>rd</sup> May 2012 elections).

Any incomplete applications or refused applications are contacted as soon as possible to enable the elector to supply the required information. Where electors have supplied a contact email address and/or telephone numbers this is beneficial when there is little time left to receive a replacement application.

## **9.0 Supply of Registers and Absent Vote Lists**

As legislation allows candidates and political parties to obtain copies of the register of electors and absent vote lists prior to an election, the Depute ERO has created a combined application form to request these.

The ERO, through the Scottish Assessors' Association, has agreed the dates nationally when they would be made available.

Candidates and parties are encouraged to obtain the lists as soon as possible and so ensure that existing postal voters are not contacted with new applications when they are not required.

The ROs are also supplied with the relevant registers and absent vote lists that they require.

## **10.0 Polling Station Registers**

ROs require these prior to the election in order that they are available for Presiding Officers to collect at their training sessions. The ERO has agreed to supply a copy of the ballot box register and absent vote lists for each polling station to each RO by 27<sup>th</sup> April 2012.

The registers will reflect the data from the polling scheme entered by RO staff and will highlight or "score through" electors not eligible to vote on May 3<sup>rd</sup> or who are postal voters. Proxy voters are marked in the ballot box register with a 'P' for the benefit of polling staff.

## **11.0 Training**

The Depute ERO has supplied information for training polling staff and has agreed to attend Stirling Council training sessions to highlight registration and absent voting issues. Falkirk and Clackmannanshire have also been offered this service.

## **12.0 Enquiries**

Registration staff are made aware of the relevant dates for issue of ballot papers replacement ballot packs as well as the statutory last dates for registration and absent voting. This is essential so that electors are given the best advice when they contact us by email, telephone, by letter and by calling at our office. The relevant dates are also quoted, where possible, on letters and forms being issued by the ERO prior to the election.

The ERO has agreed that forms received by the RO at his/her office will be accepted as received if in time, however, if they contain errors they must still be rejected when they are received by the ERO.

## **13.0 Polling Day**

ERO staff provide a service to the electorate and ROs from 7am to 10pm on every polling day.

As part of their training staff in polling stations are given the ERO contact details to allow them to contact us with any questions on behalf of electors regarding registration entitlement.

Forms are provided to ROs for each polling station to enable electors who want to request registration changes or future postal votes to easily notify us.

Any clerical errors identified have to be granted by the ERO and communicated to the polling staff, RO and elector.

Any applications for an Emergency Proxy must be received before 5pm and again the ERO must communicate his/her decision to the RO & polling station staff as well as the elector.

ERO IT staff are also available from 7am to 10pm to ensure that advice on the database is available to all staff, if required.

## **14.0 Publicity**

The Depute ERO has been issuing press releases regarding registration and postal voting options since January. He has also sent emails to all identified housing

associations and numerous community groups and charities to promote registration and postal voting in time to vote on May 3<sup>rd</sup>. Visits have been made to some community groups, where invited. Suggestions for posters and initiatives have also been sent to Councils' communication staff and the Electoral Commission following a December 2011 local meeting.

## **15.0 Timetable for 3<sup>rd</sup> May 2012**

9 <sup>th</sup> March	Last date for registration for 1 April update to Register of Electors.
13 <sup>th</sup> March	Data file to printers for poll card printing.
14 <sup>th</sup> March	Start of nominations process.
2 <sup>nd</sup> April	Date by which EMB requires poll cards to be posted.
18 <sup>th</sup> April	5pm last date & time for receipt of valid postal vote application. Postal vote data to be issued to Opt2Vote as soon as possible after all registration and postal vote applications approved and updated after 5pm.
18 <sup>th</sup> April	Midnight last date and time for receipt of valid applications to register to vote in time for May 3 <sup>rd</sup> election.
23 <sup>rd</sup> April	Date by which EMB has instructed ROs and printers to issue postal vote packs to valid postal voters.
25 <sup>th</sup> April	5pm last date and time for receipt of a valid application to vote by proxy on May 3 <sup>rd</sup> .
25 <sup>th</sup> April	Last date for receipt of any objection to an application to register to vote prior to May 3 <sup>rd</sup> election.
27 <sup>th</sup> April	Ballot box registers and AV lists to ROs.
3 <sup>rd</sup> May	Polling day 7am to 10pm.
7 <sup>th</sup> May	Public Holiday.
10 <sup>th</sup> May	Last date for registration for 1 <sup>st</sup> June update to Register of Electors.

## **16.0 Post Election**

Rechargeable costs are identified and invoices prepared for RO's.

Applications which were too late to register for May 3<sup>rd</sup> and valid postal vote applications for all future elections are updated.

Electors are deleted from information received and application forms issued to potential new electors from information received.

Letters sent to postal voters to review their signatures, dates of birth if applications were rejected by ROs and these are notified to ERO.

Within 6 weeks a post election meeting with RO and ERO staff is held to discuss the election and lessons learned.

ERO staff finalise arrangements for the annual canvass which starts in June/July with emails to electors requesting confirmation of no changes prior to the printing of forms.

Depute ERO renews efforts to request co-operation of Chief Executives and relevant council staff in identifying databases for checking against the register data and to assist in promoting procedures to assist in registration.

## **17.0 Canvass 2012**

The email confirmation of registration is continuing to grow in numbers annually which assists in limiting registration costs due to the savings in postage and printing. The option to respond by internet, telephone, text, fax or scanned email attachment will be highlighted and encouraged.

To help reduce the increasing costs due to the postage increase expected, of 12% in April, RO staff have agreed, in principle, to allow returns to nominated council offices. Detailed arrangements will be finalised in order that these are printed on the canvass forms and/or inserts.

A pre paid envelope will not be sent with the forms this year in an attempt to encourage responses by any of the offered options. Should initial responses drop then an option to include a reply envelope at reminder stage will be retained.

Building on the contacts identified so far requests will be sent to community groups, housing associations, sheltered housing, etc for visits and meetings at which registration details can be checked with electors. Again this will hopefully be before forms are printed and posted.

The electors in household who have not returned a form for over two years will be deleted in July and notified with a deletion letter and an application to re-register. By doing this early in the canvass period this will save the costs of any further registration form and reminder being posted.

## **18.0 RECOMMENDATIONS**

The Valuation Joint Board is asked to note the report.

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Author: Russell Taylor  
Date : 14<sup>th</sup> February 2012