Risk No	Category	Risk Description	Existing Controls	L	S	Risk Score	Required Actions	Residual Risk	
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
2	Technological **(confidential)**	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	
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
4	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
5	Technological **(confidential)**	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 necessary.	2	3	6	Investigate other available suppliers for new parts of the system to reduce dependence (as already done with the ER system). **Review Back-up regimes in 2011**	3	
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 stystem	3	Assistant Assessor and Depute ERO
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.	3	Depute ERO

No	Category	Risk	Description	L	I	Score	Action		Responsible
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 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
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	4	ERO/Depute ERO
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		Assessor & Office Manager
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	Managemment Team
12	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 . **The proposed 5 year voluntary phase starting in 2010 has been abandoned - will now be introduced in 2014**	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) **Cabinet Office now planning on introduction in 2014 but wish to carry out data pilots before then. BB is now a member of the Project Reference Group so can keep involvement with this project even though we are not selected as a pilot area - regular meetings with Cabinet Office throughout 2011**	4	ERO
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 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. **SAA now investigating use of secure FTP - 2011**	4	Office manager (for new staff) Depute ERO and Assistant Assessor for external

#	Category	Risk	Controls				Actions		Owner
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)	4	Depute Assessor/IT Team
15	Legislative (confidential)	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 and expenditure methods available within the office. Docks and Harbours guidance note (regarding liaison) agreed with SAA	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. **Although agreed with assessors, the draft note needs revison following the lands tribunal case for Cromarty in 2010. In particular the treatment of conservancy will be reconsidered during the appeal process**	2	Assessor & Asst Assessor
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
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. **Management training being sorced for 2011**	2	Depute
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	3	ERO, Depute ERO
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	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
20	Professional	Conflict of interest		2	2	4	All staff should be requred to declare potential conflict of interest Audit action 2010 to have annual declaration of interest - **done 2010**	2	
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.	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 Assistant Assessor (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. **Assistant Assessor has now gained AEA certificate (2011). The two Valuation sections were combined in late 2010**	2	ERO

#	Category	Risk	Mitigation				Action / Comment		Owner
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. 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
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 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 the run up to the election and agree specific dates for registers. this would avoid producing unnecessary identical copies of these documents potentially every day. Consider encoraging requests only from candidates etc who will use the data as many are never collected or passwords requested.	4	ERO
24	Customer/ citizen	Local Election during canvass (including Community Council)	The reorganisation of ER Staff into a single team allows further flexibity (August 2009) which should allow easier re-allocation of workload within the team in the event of an election in one area. All staff follow the same procedures; so having to deal with a specific election should cause no difficulty. Remaining staff can continue with canvass activity elsewhere	2	2	4	Review effect of restructure in Late 2010 - **new structure is performing well**	4	ERO
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	
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	
27	Environmental	Build-up/waste of obsolete PCs	Disposal Arrangements made for nominal fee	2	2	4	**Disposal in 2011 resulted in a credit rather than a fee**	2	
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	

29	Contractual	Poorly specified contracts		2	2		4	use tender process and joint Council framework agreements	2	
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	
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**	4	
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	
33	External	Late direction by IEMB (or in 2011 by CCO/RCO)	Membership of IEMB (directly or through SAA) to influence and keep in touch with possible late changes	2	2		4		4	ERO
34	External	Out of date Corporate Address Gazetteer resulting in moving away 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	4	Assistant Assessor and Depute ERO

Bold underlined red text indicates fairly recent new items or comments

indicates Electoral (particularly affecting elections from 2009)

indicates Health and Safety