

Appendix 2

Risk No	Category	Risk Description	Existing Controls	L	S	Risk Score	Required Actions	Residual Risk	Person(s) mainly responsible	Timescale "continuous/ongoing" unless otherwise noted	Main function
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canvass	The "churn" caused by canvass activities is increased by political activity - e.g. poll cards will be based on out of date register but political activists will be indentifying the same changes that the canvass forms are designed to identify potentially confusing the elector. <i>Involvement by ERO in discussions with Scottish Government (referendum) and Cabinet Office (IER) to ensure that a referendum during IER canvass is accounted for in the processes. Now proposed by UK Government that IER implementation in Scotland is delayed until after the Referendum (starting around 1/10/14)</i>	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
8A	Customer/ citizen/ legislation	Referendum during canvass	The "churn" caused by canvass activities is increased by political activity - e.g. poll cards will be based on out of date register but political activists will be indentifying the same changes that the canvass forms are designed to identify potentially confusing the elector. Ensure good contacts with Scottish Government, Cabinet Office, and Scotland Office at ERO level and as part of SAA and Electoral Management Board activity point out the problems and solutions for a referendum especialy during canvasss time <i>Now proposed by UK Government that IER implementation in Scotland is delayed until after the Referendum (starting around 1/10/14) - canvass (Write out) will be completed by end of Feb 2015</i>	2	3	6	The PPE Act 2009 addresses SOME of the issues for an election but not for a referendum . Answer to consultation on any referendum should make the point that a major referendum should be treated in law the same as an election if it happens during the canvass. Care ful consideration needed for the co-incidence of referendum, canvass, and individual registration write out all three of which could occur in autumn 2014.	6	ERO	<i>ongoing</i>	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 changes made November 2011. <i>Propose full test of system during 2013 following installation of new servers in 2012</i>	4	ERO/Depute ERO	<i>May-13</i>	Electoral

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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
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. Received Government response to consultation proposals (Oct 2011 - Feb 2012) further meetings scheduled for February 2013 and beyond. Confirmation dry run will show if increased finance is needed	4	ERO	Legislation early 2013. Secondary legislation July 2013	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 - New signature system agreed with SAA in 2012 to allow secure transfer of information between assessors. SFTP used for registers to Political parties	4	Office manager (for new staff) Depute ERO and Assistant Assessor for external.		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) New post specified and staffed in 2012	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

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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 sourced for 2011/12/13. Meetings of full Valuation team to review recent case law have been useful and will become more regular items	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 encouraged to become members of Halarose Users Group and to participate in Users Forum and help identify problem areas and future enhancements. Involvement through SAA ER Committee (for ERO & Depute ERO) and for ERO with the Electoral Management Board for Scotland (from Late 2011).	2	2	4	ERO has accepted invitation to continue as member of EMB until 2015	4	ERO/Depute ERO		Electoral
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. Valuation: Assessor and all statutory Deputes 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	SAA Committee membership reviewed in mid 2012	4	Assessor		Valuation

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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. Next scheduled elections ; Euros in May or June 2014 - risk/contingency plan to begin in May/June 2013.	4	ERO	Apr-14	Electoral
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

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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 Depute Assessor . Early preparation of Budget - 3 year budgeting	2	2	4	Later overview involving Senior Accountant and Assessor	4	Depute 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		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. Reviewed in 2012	2	2	4	replacement with modern cabinets. Meanwhile warning notices on any remaining roll up cabinets. Establish "Clear desk policy ("Co-co" requirement)	2	Assistant Assessor/Office Manager	May-13	all
33	External	Late direction by EMB (or as in 2011 by Electoral Commission). Potential conflict if EMB requirements conflict with arrangements already agreed with printers, ERO's etc	Membership of EMB (directly or through SAA) to influence and keep in touch with possible late changes	2	2	4	ERO has accepted invitation to continue as member of EMB until 2015	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

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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 available as required (including overtime and if necessary IT) but also it is important to consider emergency scenarios, and the possibility of late rearrangements resulting from national discussions (see election risk/contingency plan for any upcoming elections)	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 check of the standing list should be carried out well before the election as there will not be time to do this later. A supplementary check of additions can be carried out nearer the election. Occurrence of an epidemic can be mitigated by re-allocating the workload to non electoral staff that have EROS access for scanning purposes and train them in appropriate parts of the registration process. Access to any part of the system which can be used (by any user) to amend the AV lists should be tightly restricted by the administrator as soon as an election is likely. (see current election risk/contingency plan;	4	Depute ERO	Review Early 2014	Electoral
	Continued from above						no current plan because no current scheduled election but previous plans are retained). Euro Elections 2014 will require a new system involving early issue of PVs and clear power to cancel if something has changed	Continued from above			
	Customer/citizen	Removal of ecanvass	If no longer an option under IER then approx 15% of households affected as at Sept 2012 which may result in a poorer response to posted forms as well as considerable increase in costs and resources required	2	2	4	Try to convince Cabinet Office on the benefits of ecanvass especially as their mantra is digital by default	2	ERO		ERO/Depute ERO

Red text indicates fairly recent new items or comments

indicates significant to Electoral (particularly affecting elections from 2009)

indicates Health and Safety

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