



*Dunbartonshire and Argyll & Bute  
Valuation Joint Board*

## **RISK REGISTER 2013**

## Introduction

The Management Team reviewed the Corporate Risk Register at a meeting on 18<sup>th</sup> February 2013. It was recognised at that meeting that the introduction of Individual electoral Registration formed one of the biggest challenges to the organisation for many years and that a separate Risk Register should be developed for that 'project'. This will be developed during 2011/13/14 as legislation and policy become more established.

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Appendix 6	Implementation of Individual Electoral Registration

## Risk Matrices

The Matrix used for the **Main Risk Register** is as follows:-

<b>I M P A C T</b>	<b>3</b>	<b>4</b>	<b>7</b>	<b>9</b>
	<b>2</b>	<b>2</b>	<b>5</b>	<b>8</b>
	<b>1</b>	<b>1</b>	<b>3</b>	<b>6</b>
		<b>1</b>	<b>2</b>	<b>3</b>
		<b>LIKELIHOOD</b>		

<ul style="list-style-type: none"> <li>• <b>Likelihood</b> - “Probability of a risk event occurring”</li> </ul> <ol style="list-style-type: none"> <li>1. Unlikely but could happen (Low)</li> <li>2. Likely to happen (Medium)</li> <li>3. Very likely or already happening (High)</li> </ol>	<ul style="list-style-type: none"> <li>• <b>Impact</b> - “Severity of the consequences should such an event occur”</li> </ul> <ol style="list-style-type: none"> <li>1. This will cause some problems but could be managed (Low)</li> <li>2. This will cause significant delay or interruption to our services (Medium)</li> <li>3. This could cause our services to fail (High)</li> </ol>
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The Risk Matrix used for **Appendices** is as follows:-

	<b>IMPACT</b>		
<b>LIKELIHOOD</b>	HIGH (3)	MEDIUM (2)	LOW(1)
HIGH (4) (CERTAIN)	12	8	4
HIGH (3) (PROBABLE)	9	6	3
MEDIUM (2) (POSSIBLE)	6	4	2
LOW (1) (UNLIKELY)	3	2	1

With the Risk Score being the direct product of the two individual scores.

## RISK MANAGEMENT – MAIN RISK REGISTER – 2013

Risk No	Category	Risk Description	Risk Score	Controls	Resid Risk	Actions
1	Political/Legal	Failure to comply with Best Value	6	Involvement in SAA (Matters formerly dealt with by BV Committee now remitted to Governance or Assessors' Committee), Service Review Schedule, Stakeholder Consultation, Board Reporting, PPR, Tendering Procedures. Commitment to and compliance with Best Value confirmed by external audit 2004/05. PPR expanded for 2005 and 2006 reports Customer Satisfaction procedure implemented with reports being presented to MT	1	Continue to expand/improve PPR
2	Political/ Financial	Failure to comply with Audit Actions	6	Consultation with auditors. Preparation and consideration of Management and Board reports. Finance Sub Committee now meets to approve final accounts and audit report before publication (as per audit requirement) Audit Actions List regularly reviewed by MT	1	Consult further with auditors with regard to audit planning. Continue to review progress against audit actions at Management Team
3	Political	Lack of Sufficient Notice of C Tax revaluation  Although the proposed LIT has been postponed, the likelihood of a CT Revaluation in the short to medium terms is still low.  Note that there has been some public airing of the possibility of a 'Mansion Tax' in England & Wales, but it has not been discussed to any extent in Scotland.	1	SAA Involvement, Consultation with Scottish Government.  Maintenance of house records is ongoing in Campbeltown office and it is reported that they are up to date.	1	Ensure house records are kept up to date.
4	Political/ Economic	Councils or CRO take over ERO function  Local Electoral Administration (S) Act has established the EMB for local government elections and provided for limited direction	4	See procedures etc to ensure achievement of statutory obligations. Operate efficiently  SAA has formal representation on the EMB.	2	Regular consultation and liaison with ROs to ensure we continue to meet their needs.  Continue to promote professionalism and customer satisfaction.

		powers over EROs. The momentum for further change appears to be minimal.				Ensure measured performance remains above average
5	Economic	The current economic climate brings a number of related financial risks, including increased expenditure, static or reduced incomes etc. these are now consolidated in one financial risk as the controls and actions are so integrated as to be considered together.	6	Financial Regulations and Standing Orders in place. Liaison with Treasurer and constituent councils, Statutory requirement to fund Assessor. Budget monitoring reports to MTM. Benefits of bulk/joint procurement through 'Scotland Excel' procurement consortium. Joint procurement of IS systems and services through WDC. Moved to 'We-Buy' procurement system. Inflation considered in budget process. Increase requisitions. Management Structure/Clydebank Technical sections amended for 2010/11 to ensure savings. Planned delays in recruitment etc Gas heating installed. Retirements used as opportunities to restructure/reduce costs.	3	Legal advice if necessary. Continue to closely monitor budget spend and cost of various processes. Continue to include inflationary uplift in budget process where appropriate.  Implement further structural changes as required.  Continue to consider each budget line for cut in budgetary planning.  Planned delays in recruitment and retention of vacancies where necessary
6	Economic/ Legislative	Effects of new (Electoral Registration) legislation (on budget)  The Implementation of Individual Electoral Registration (IER) (see introduction) will provide a major challenge to the organisation and on budgets and a separate risk register will be developed	5	Actively monitor new/draft legislation, Involvement in consultation – also via SAA and AEA.  ERO and PAO included in Cabinet Office's Scottish Implementation Project Group  Previously flagged to Treasurer and Joint Board.  Cabinet Office have committed to financing the implementation and early years of the new system.	1	Seek additional funding to cover increased costs. Seek direct external/grant funding but Board requisition if necessary.  Continue to report progress and effects to board in run up to the change-over.  Take part in Cabinet Office cost modelling exercises.  Start to plan resources and processes required for the changeover.
7	Social	Ward boundary changes (Future changes to be provided only in electronic format)	8	Early consultation on changes, Preparation (including training) Partnership with ROs for provision of polling schemes.	3	Training in GIS required for future. Liaise with other EROs/Councils  Expand GGP/GIS training to include admin/clerical staff

		Westminster Review no longer due in 2014 – delayed until 2018.		Scottish Parliament Boundary Review implemented in December 2010.		Retain watch on progress of UK Parliament Boundary Review. Provide such data to Boundary Commission as is requested. Liaise with constituent ROs
8	Technolog'l	Hardware becomes obsolete	8	Rolling replacement policy, annual budget bid.  Inventory, advice from WDC  New Unix Server installed April 2009. New EROS server installed 2010 New LAN servers installed 2011 New MFDs leased with maintenance agreements Scanner maintenance agreements in place	1	Assess need for replacement annually Update inventory annually and on any new purchase  New Halarose back-up server to be installed 2012
9	Technolog'l	Software becomes obsolete/ inefficient  Note that EROS system will need to be developed to take account of IER	8	Monitor versions, advice from WDC. Monitor vendors' support policies.  Regular updates of EROS from Halarose.  Pervasive upgrade (to Eros) completed February 2012  Retain in-house Progress programming capability.  Progress system redeveloped in period 2008-10 to ensure it meets functional requirement.  MS Office upgraded in 2012  Appgate licenses renewed in June 2012	3	Purchase replacement versions where appropriate (re cost/benefit)  JN is a member of Halarose IER Development Group. Update expected in May 2013  Continue to develop Progress system in line with operational needs
10	Technolog'l	Hardware failure	9	Back-ups, RAID array servers, Multi-location operation. Joint Disaster Recovery Plan through WDC. Business Continuity plan approved and in place. New Unix Server installed 2009. On-line back-up to alternative locations. Servers purchased with maintenance agreements. New Halarose back-up server installed 2012	2	Budget for replacement.

11	Technolog'l	Computer virus attack	9	Firewalls, Anti-virus software, policy on unlicensed software, procedure for reporting instances, advice on e-mails from unknown sources. Junk-mail protection system upgraded 2008. Remote working now done through Appgate/WDC network access thereby reducing influence of external factors. Lap tops now routinely encrypted.	5	Transfer 'repair/remedy' obligation to WDC.
12	Technolog'l	Failure of communications between offices  The architecture review (with 2 x Broadband lines to Campbeltown office) in 2011/12 has not provided the resilience that was expected  Risk Increased 2012 in light of recent loss of network connectivity	6	Electronic links, telephone lines. Network topology is resilient.  Citrix technology implemented to 'work-around' the broadband issues in Campbeltown.	5	Update lists of home and mobile telephone numbers annually.  WDC ICT Team to complete a review of resilience and make proposals for improvement.  Plan workarounds.
13	Technolog'l	Reliance on third party for I.S. support	9	Employ own programmer, train in-house staff. Maintain physical back-up procedures, Own the equipment. Regular liaison with support staff. AB attends WDC ICT Communications meetings.  Programmer documenting all development work and programme changes	2	Ensure continued documentation of development work Consider draft SLA
14	Technolog'l	Loss/corruption of data (to include loss to third parties)	9	Back-ups, RAID array servers, Firewalls, Anti-virus software, WDC security policy, test system for all developments, restricted network access, policy on unlicensed software, procedure for reporting instances, advice on e-mails from unknown sources, data saved to backed-up drives and stored off site, restrictions on input. Included in WDC IT Disaster Recovery procedures. Disaster Plan developed and implemented. Encryption of ER data for distribution. Reiterated advice to staff to save to Network Drives (e.g H:\, G:\) AB provided guidance on security and Data Protection. Code of Conduct amended to	2	Continue with vigilance.  Consider web services distribution of registers and updates

				clarify individual responsibilities. Facility to download data from progress restricted. Password protected encrypted memory sticks provided to staff with revised guidance on use. Remote working now done through Appgate/WDC network access thereby reducing risk caused by external factors. Lap tops now encrypted reducing or removing the need for secure memory sticks. Secure rooms established in SAA portal for secure storage of confidential data. Symantec Verisign e-mail security was deemed inappropriate in 2012/13 but bear in mind for future		GSX/GCSX or similar to be implemented for IER data exchange
15	Technolog'l	Loss/failure of assessors system	8	Back-up regime. See Loss/corruption of data above Included in WDC IT Disaster Recovery procedures	2	Maintain/Renew licences/support agreement
16	Technolog'l	Failure of LAN servers	8	See Loss/corruption of data and Failure of Communications, above. Included in WDC IT Disaster Recovery procedures	1	Investigate access to alternative LAN server if one is lost/down
17	Technolog'l	Loss of programming capability. (See also loss of key staff, below)	5	Access to back-up staff in WDC. Provide attractive Conditions of Service. Provide training. Requirement for Programming capability reduced <b>in context of electoral function</b> by moving to EROS II.	3	Contract to outside body if required. Ensure back-up programmer is kept up to date with systems development. Document processes and developments. Provide relevant training.
18	Technolog'l	CAG data not maintained timeously or provided by constituent councils	6	Consultation with partners, Involvement in projects. Assessors system capable of importing CAG data. Access to council CAG searches available to staff. Processes in place to remove complete reliance on CAG input.	1	Maintenance actions and liaison only.
19	Legislative	Responsibility for utilities	7	Statutory function, legal and technical advice sought, partnerships with SAA and VOA. Consultation with Scottish Government,	2	Attend relevant meetings, maintain liaison with VOA and ratepayers.



				Specific training. Maintain relationships with ratepayers and their agents. Values prepared for transmission and distribution networks and meters 'cumulo' for the 2010 Revaluation.		Aim to agree published values and/or deal with appeals.
20	Legislative	Change to method of financing Local Government resulting in loss of NDR or CT functions  Although the change in Scottish government in May 2007 significantly increased this risk over previous administrations, the <b>short to medium term</b> risk remains low as Government officials have indicated that the likely timescales for change would be in line with the devolution of other tax matters in 2015/16.	5	Monitor draft legislation. Little internal control over political decisions.	4 (short term)  7 (long term)	Reply to consultation documents and draft legislation, formally and/or informally, via SAA. Maintain high profile with Government and officials. Promote professionalism and customer satisfaction.
21	Legislative	Lack of awareness and insufficient planning for new legislation	9	Monitor all new legislation, Monitor draft legislation. Contact with legislators through partnership with SAA, AEA, Electoral Commission etc. Input to consultation, awareness of media and publicity	1	
22	Environmntl	Build-up/waste of print cartridges	6	Policy to recycle. Spent cartridges disposed of via WDC agreement with Ricoh.	1	
23	Environmntl	Build-up/waste of obsolete PCs	6	Policy to re-use - distribution via Members. Excess PCs disposed of via WDC disposal procedures for electrical equipment.	1	ICT team have scheduled disposals for Spring 2013
24	Competitive	Failure to set Targets	5	Effective management, Group communication, timetables, survey monitoring, KPIs, project log, Audit action plans. Target setting included in Service Plan.	1	Implement further management/ monitoring reports to MTM. Consider review of Personal Development Policy
25	Competitive	Failure to adequately motivate.  Risk Reviewed Feb 2013 in light of the end of the salary protection period in April 2013 but arrived at same score.	6	Staff development & training plan, staff forums, suggestions box, effective management. Team targets.  MT reiterated commitment to show sincere appreciation when deserved.  'Extra Mile' awards scheme implemented	6	Reconsider the introduction of personal targets/ responsibilities.  Offer promotion opportunities to internal staff where appropriate Consider implementation of 'Living Wage' Review usefulness of 'Extra Mile' awards scheme

26	Customer/ Citizen	Failure to provide ROs with Election Registers, absent voters, personal identifiers etc (Including National Park and Community Council elections)  Note: there are no planned elections (other than Community Council) in 2013/14	9	Data back-up, timetable monitoring, audit/checking procedures, consultation/liaison, staff training. Written procedures. VPN access to shared server installed FTP upload facilities in place to allow data transfer/access. All new processes completed successfully at recent elections. EROS back-up server has been installed	2	Active management of relationship with RO. Maintain adequate test procedures. Provide paper back-up if necessary. Ensure work-arounds in place to avoid loss of connectivity at critical election periods.
27	Customer/ Citizen/ Legislative	Failure to produce Electoral Registers	9	Data back-up, timetable monitoring, audit/checking procedures, consultation/liaison, staff training. Written procedures. Reference to Electoral Commission guidance. ROs have access to registration date by virtue of using the same system.	2	Ensure knowledge of critical processes by >1 member of staff. Consider distribution of registers by web services – Halarose are actively investigating this function as an add-on. Seek assistance from systems suppliers or AEA/other 3 <sup>rd</sup> party consultants if required.
28	Customer/ Citizen	Staff stop using cars	8	Conditions of service including mileage payments. Hire car alternatives implemented for Campbeltown office	2	No further actions
29	Customer/ Citizen	Inefficient canvassing Incomplete canvassing  Door-to-door canvassing procedures are now well established but approach to canvass will be reviewed annually in light of registration levels, budget availability etc.  There are additional uncertainties arising from the move of the canvass period to winter 2013/14 – risk reviewed Feb 2013.	9	Training, planning and control of canvass, including door-to-door canvass, audit/checking. Outsourcing printing, regular progress reports. Written procedures. Annual Canvasser feedback survey and analysis of previous years completed each year. Canvasser performance reviewed and changes implemented where necessary. Specific Canvass Risk Plan reviewed annually  Participation Strategy in place  Government Grant likely to be available if required.	8	Option to complete door-to-door canvass is there if required and funded. Review products/suppliers to replace the discontinued Walksort service. Continue to evaluate each years canvass for lessons learned and implement these annually.  Continue to consider/review financial commitment to canvass during budgeting process. Apply government grant to obtain additional canvassers if appropriate.  Regularly review approach to publicity. Early contact with existing canvassers re change of timetable

30	Customer/ Citizen	Bad press reports	6	Training, Code of Conduct, KPIs Whistleblowing policy, Professional ethics. Staff advised on dealing with press.	6	SAA or Assessor to respond to media articles where appropriate.
31	Customer/ Citizen	Inadequate/lack of training	6	Personal training and development plans, professional qualifications (RICS and AEA), CPD, ECDL, Work shadowing, Mentoring, training budget, variety of sources considered, In-house training based on need and experience. Joint training with WDC/SAA/VOA.  Commitment for in-house training time to be set-aside made at Feb 2010 MTM	3	Allocate "in-house" training time.  Review Personal Development Policy Provide CPD 'events'/opportunities for staff Additional funding made available for 2013/14 Sections to ensure that they set- aside time for training in accordance with MT commitment.
32	Professional	Failure to retain/attract suitable staff  Economic situation means that there is likely to be little trouble attracting appropriately qualified valuation staff, in Clydebank at least. Indeed, recent experience suggests that every vacancy would be oversubscribed many-fold.	3	Establishment based on need and experience, Conditions of service, timeous recruitment, including flexible working patterns, pension scheme, etc, Variety of media for advertising vacancies. Accommodation improved during period 2010- 2012 in both offices.	2	Offer career progression, reward and appreciation.
33	Professional	Ineffective training	3	Effective Training plan, 2-way communications, working groups. Training provide on basis of Training and Development Plans. Formal post-training evaluation procedure introduced.	1	Formalise Training Plan provision based on need, formalise training records. <b>Improve compliance with existing policy by ensuring that managers are complying with pre- training meetings and post- training evaluation.</b> Consider a monitoring process which requires that these be carried out. Review Personal Development Policy
34	Professional	Reputation of staff/ organisation suffers	6	Codes of conduct, professional ethics, customer consultation, Best value, KPIs/PPR, representation at forums. Training, Whistleblowing policy.	1	Train staff on dealing with public. The risk cannot be completely mitigated so, in circumstances where little can be done to recover reputation, accept the risk.
35	Professional	Industrial action	1-4	Conditions of service, effective management	2-9	Formalise relationships with staff

		Note: Risk varies at different times of the year. Both likelihood and impact are higher at critical times.		Pay Modernisation appeals process completed. Several instances of detriment addressed.		representatives. Continue to address 'detriment' where opportunities arise
36	Professional	Loss of groups of staff  Risk increased in 2012 due to the likely retirement of several Technicians in the medium term	5	Conditions of service. Management Team avoid collective travel	5	Pro-active resource planning
37	Professional	Loss (including long term illness) of key/senior staff	6	Conditions of service, Staff development, structured promotion, salaries, staff planning. Documentation of procedures. Multi-functional approach to clerical/admin functions. Management Team avoid collective travel. Maximising Attendance Policy Welfare and Counselling Services incl. Stress Management, No Smoking Policy, Written instructions. Adoption of 'Stress in the Workplace' and 'Alcohol and Substance Misuse' Policies.  Maximising Attendance refresher training provided to supervisors February 2011	6	Improve accommodation, Improve terms and conditions, offer career progression, reward and appreciation.  Continue to document procedures and provide staff guidance. Restrict promotion to internal staff only.  Continue to develop and maintain written instructions, work shadowing and sharing to ensure broadened skills base. Review Attendance Policy in line with WDC 2013.
38	Professional	Unethical behaviour	2	Code of conduct, professional ethics, training, anti-fraud and defalcation policy, whistleblowing policy, Checking/audit procedures, training. Register of Interests Implemented	1	
39	Financial	Failure to implement financial controls	9	Adoption of Standing Orders and Financial Regulations, Audit processes used, Procedures for ordering and Invoicing, restricted authorisations, lists of authorised signatories, Monthly Financial reports, anti-fraud policy, training. Debtors Procedures, including monitoring reports, implemented. Financial reporting to MTM and Board improved.	1	Ensure auditors cover both sites,
40	Financial	Unexpected salary increases  Government pressures to freeze/restrict public sector pay has decreased the risk significantly.	6	Awareness of union claims and negotiations  Provision made in 2013/14 budget for 1% increase	1	Formalise relationships with staff representatives.

41	Legal	<p>Failure to comply with Equalities obligations</p> <p>Risk Reviewed upwards in Feb 2103 due to the requirements to comply with 'Specific Duties' by 30<sup>th</sup> April 2013.</p>	6	<p>VJB Policies approved and reviewed into one policy in 2011. Introduction of Language Line, Staff Training.</p> <p>Monitoring of service and staffing implemented. Recruitment Process conforms. Training provided in Equalities and Recruitment processes.</p> <p>Included in VJB Commitments Standing MTM agenda item</p> <p>Equalities 'Champion' established. Annual Equalities Reports prepared and published. Access audit completed for all 3 sites and various building alterations completed. Induction loop installed in Clydebank. Translation services agreed to facilitate provision of information, forms etc on tape, in Braille etc on request. See Equalities Policy and related documents. Site and home visits to stakeholders, advice from WDC/A&amp;BC. Train staff on web site accessibility requirements. Text phones installed.</p> <p>Extended staff survey completed 2012</p>	6	<p>Consultation and target setting</p> <p>Implement Action Plans.</p> <p>Implement, requirements of Specific Duties included in Scottish Government's legislative follow-up to Equalities Act. In particular, agree and publish 'Outcomes', develop reporting formats and complete 'Mainstreaming Report'.</p>
42	Legal	Failure to comply with Freedom of Information legislation	6	<p>Approved policy in place, Staff training, membership of WDC working group, input to SAA Best Value Committee, Monitoring system in place for referrals, Publication schemes approved and in place, receipt of Information Commissioners Newsletters. Revised Publication Scheme approved 2009.</p>	1	<p>Monitor cases under FOI regime.</p> <p>Move to Model Publication Scheme by 30<sup>th</sup> May. Publish information and data in compliance with MPS requirement.</p>
43	Legal	Failure to comply with Health and Safety legislation	9	<p>Input from WDC and A&amp;B H &amp; S personnel, Internal working groups, Fire Risk Assessments in force (and reviewed regularly), fire and smoke detectors, intruder alarm system installed, maintained and tested. Fire/evacuation drills completed, Internal and external training, protective clothing. Responsible persons identified (See Policy) Revised H&amp;S Policy in place (and reviewed 2013)</p> <p>H&amp;S Risk Assessments reviewed annually</p> <p>Induction procedures in place.</p> <p>Lone Working arrangements amended 2005</p> <p>Standing item on MT meeting agendas.</p>	1	<p>Provide refresher training. Regular updates of Risk Assessments.</p> <p>Implement Fire Risk Assessment Action Plans</p>

				Training provided in First Aid (during 2010), Asbestos Awareness and Violence in the Workplace. Safelocate phones in use by staff on survey. Stress in workplace survey completed 2010 with action plan monitored by MT		Training required for new First Aiders during 2013/14
44	Legal	Failure to have relevant and current personnel policies	6	Adoption and adaptation of WDC policies where appropriate. Index of policies available on intranet.	3-6	Adapt WDC policies and implement DAB VJB policies –under a rolling programme of review. Specific action required in respect of Absence Management Policy, Use of Social Media Policy and others
45	Legal	Failure to follow personnel policies	6	Grievance procedures in place, Disciplinary sanctions	1	Review and adapt existing WDC policies. Monitor their application, reports to MTM.
46	Legal	Failure to comply with Council Tax legislation	9	Professional staff, checking, signatories, targets and reporting. Ensure supply of development information from councils and sales info from RoS. Audit and control systems, staff training and shadowing, tailor made IT system. Review of procedures such as survey method, timetables for amendment of lists, Valuation Practice Group, Retain copies of existing legislation, monitor all new legislation, membership of SAA Domestic Subjects Committee. Awareness of relevant cases Monitor progress of change monthly	1	Clear back-log of outstanding domestic surveys.
47	Legal	Failure to comply with Electoral Registration legislation  See comments elsewhere re the introduction of IER	9	Appropriate staff, checking, signatories, targets and reporting. Audit and control systems, staff training and shadowing, Tailor made IT system with input restrictions. Review of procedures such as canvass method, Electoral working group, Retain copies of existing legislation, monitor all new legislation, membership and active involvement in Electoral Registration Committee and AEA, additional staff at peak times if required, input to new legislation. Liaison with Electoral Commission. Compliance with ER legislation and good practice confirmed by 2006 internal audit. Monitor progress of change monthly	1	Maintain links to SAA, Scottish Government, AEA, Scotland Office, Electoral Commission and MOJ re changes in legislation. Respond to consultations etc.  Continue to review budgetary provision.  Maintain membership of CO implementation groups, Halarose users development group etc.

48	Legal	Failure to comply with Rating Valuation legislation	9	See CT legislation above. Ensure collection of necessary rentals, costs etc, Involvement in variety of SAA Committees, Application of SAA Practice Notes. Provide sufficient training. Monitor progress of running roll monthly	1	Monitor Revaluation appeals progress monthly.  Ensure all relevant citations issued by 30 <sup>th</sup> June 2013
49	Physical	Loss of/ damage to buildings including vandalism and natural disaster	9	Door/window locks, intruder and fire alarm systems, smoke detectors, Buildings insurance, external lighting, window grilles, Document Scanning (including back-up) Business Continuity Plan approved June 2006 and updated 2011	4	Consider CCTV, night watchman, contracted security patrols. Consider "dummy" CCTV cameras Along with relevant signage? Repair existing, and consider extending, security lighting.
50	Physical	Loss of/damage to equipment (See separate item for IT equipment)	9	Door/window locks, intruder & fire alarm systems, smoke detectors, Contents insurance, external lighting, window grilles, anti-fraud & defalcation policy, inventory control Business Continuity Plan approved June 2006 and updated 2011.	4	Consider CCTV, night watchman, contracted security patrols.
51	Physical	Water contamination  Note: risk reviewed Feb 2013 after report received to the effect that sediment is present in new water tank at Clydebank office	1	Supply bottled water, kettles etc, hygienic wipes, thermostatically controlled hot water supply. Regular Legionella tests done on Clydebank water tank. Water tank in Clydebank replaced during 2012/13	6	Instruction given (to WDC) to clean tank and install filter March 2013. Tank cleaned and filter installed March 2013
52	Physical	Danger to staff  Uncontrolled risk score increased in 2008 as assaults have taken place in recent years. Likelihood 3 Impact 1= Risk 6	6	Training, H&S instructions, risk assessments, lone working policy, fire alarms, drills etc, protective clothing, personal alarms, manual handling training where appropriate, eye tests, workstation seating advice, restrictions to building access for public. Appropriate insurances and certificates, shared skills base, written instructions. Cybertrak and Lone Working arrangements formalised.	1	
53	Physical	Loss of power	3	Computer back-ups, surge protection, Business Continuity Plan approved June 2006 and implemented. Uninterrupted power supply to all servers installed during 2011.	1	
54	Physical	Severe weather	3	Lone working guidance, protective clothing, awareness of weather forecasts, salting paths etc, home working. Sandbags obtained for Campbeltown office	3	MT agreed to put any specific action on hold – apply common sense
55	Physical	Landslides/road closure	3	Plan ahead, awareness of weather forecasts	3	Monitor – no specific action

				and travel news. Note that remedial works are being carried out at high risk area and alternative route has been upgraded		
56	Contractual	Failure to achieve Best Value in procurement	8	Standing orders, competitive tendering and comparison used, comparison with other assessors contracts etc Use of Scotland Excel Consortium and joint procurement of IT equipment and services through WDC. Use of We-Buy web procurement facility.	1	Document procurement decisions.  Investigate options for specific training
57	Contractual	Poorly specified contracts	8	Legal advice taken, discussions and debates prior to specification, advice taken from e.g.EDC IS, compare with other offices	2	Investigate options for specific training
58	Contractual	Loss of telephone (voice) services	7	Phone companies are contracted. Provision of phone services reviewed 2005. Maintenance contracts in place. Business Continuity Plan approved June 2006 and updated 2011	3	Use mobile phones
59	Contractual	Default in contracts	8	Pre-contract legal advice taken, liaison with account and project managers, use approved (Pecos/We-Buy and Scotland Excel) companies where possible.	2	
60	Contractual	Failure of WDC to provide support services	9	See separate comments for IT provision. WDC membership of Board, Contact with Heads of Department/ Chief Executive, participate in WDC working groups etc. Several issues escalated with relevant departments	6	Service Level Agreement being actively considered/developed by Assessor & ERO/Head of Finance in WDC. Seek meetings, improvement with relevant service
61	Environmental/ Physical	Flooding	8	See loss/damage to buildings and contents above Business Continuity Plan approved June 2006 and implemented. Sandbags obtained for Campbeltown office	1	Review storage  Note that sewer upgrade works are complete.
<b>2006 ADDITIONS</b>						
62	Technolog'l	Loss of EROS II/Halarose	4	Contract in place with Halarose. Remain in contact with Halarose. In use by 2 constituent ROs. ESCROW agreement in place. Pervasive upgrade effected February 2012 Back-up EROS server installed in 2012	1	



63	Technolog'l	Access to network by hackers through use of home e-mailing (See also 14 above)	7	Rely upon WDC secure access arrangements. All external sources (memory sticks, discs etc) are virus checked when used with DAB network/hardware. Home working via secure communications links implemented in 2010/11. Lap tops are encrypted reducing or removing the need for memory sticks	2	Continue vigilance.
64	Technolog'l	Back-up failures	6	Notification procedure in place	2	Scheduled and/or random checks
65	Professional	Any ongoing effects of, Pay Modernisation  Risk reviewed in Feb 2013 in light of the end of the salary protection period in April 2013	8	Maintain contact with WDC Personnel. Updates provided to staff. Project Team established. Job Evaluations complete and final draft Job Overview Documents in place. Collective Agreement document signed by UNISON and Assessor. Budgetary provision made and payroll alterations have been completed. Appeals process completed. Instances of detriment tackled. Several instances of detriment addressed. Revised Job Descriptions agreed with staff March 2012.	3	Maintain communication with unions/staff and WDC Pay Modernisation Team.  Address instances of detriment when opportunities arise. Consider 'Living Wage'
66	Physical	Presence of asbestos in buildings constitutes hazard to staff	8	<u>Clydebank</u> : Asbestos audit received. Caretaker advised and Asbestos register available for all contractors Most asbestos removed during decoration works 2012.  <u>Campbeltown</u> : Asbestos audit received. All asbestos is 'brown' and constitutes low risk	1	<u>Clydebank</u> : Ensure relevant contractors have ongoing access to asbestos register. Asbestos Register to be updated to take account of works.
67	Professional	Overdependence on small number of staff to operate valuation Excel spreadsheets – particularly for Revaluations	5	Excel training provision has been extended on a regular basis since Risk Register drafted. Dependence on spreadsheets reduced by development of more robust Progress system for valuation of bulk classes. Option to fall-back to manual valuations is still available.	3	Continue to provide training as required and identified in PDP reviews. Specific training required in advance of 2017 Revaluation – AB to consider skills transfer.
<b>2007 ADDITIONS</b>						
68	Environmental/ Physical	Loss of Witchburn Road store.  Less likely than before per A&BC Finance Dept	8	Documents have been scanned and are available. Liaison with senior officers in Argyll & Bute Finance department. Current user agreement.	2	Seek alternative accommodation.

				Electronic data 'Hub' being established during 2013		
69	Environmental/ Physical	Clydebank building beyond economic repair	2	Planned maintenance. Reactive maintenance. Budgetary provision made annually for maintenance. Joint Board Property Sub-Committee and Joint Board have completed a 3-year Capital Plan of improvement Gas heating boilers and toilet improvements completed. Electrical upgrade complete. Gable repairs carried out in March 2012. New water tank and shower room installations and full redecoration completed during 2012. Roof repairs carried out during 2012/13.	2	Continue vigilance, consider further capital bids as required/identified.
70	Professional	Poor outcomes from, Electoral Registration Performance Indicators.  The EC intend to implement a new performance regime to align with IER.	6	Halarose/EROS and other existing reports. Input into system Users Groups. Input to consultations. Membership of SAA and AEA. Operational Performance Indicators provided to Elect Commission in December, annually. Formal Performance regime implemented in January 2009. PI and self –assessment competed annually and follow-up audit/verification completed as required. Systems have been amended accordingly and procedures are now in place. New reporting requirements included in Service Plan.	1	Ensure controls are fully implemented.  Continue to ingather performance stats and provide to EC in accordance with requirements. Continue to review performance and procedures in light of comparisons and best practice.  Attend EC Seminars on relevant subjects Maintain liaison with EC and other partners to implement any change related to IER
<b>2008 ADDITIONS</b>						
71	Legal	Failure to comply with requirement to transfer AV Personal Identifiers to ROs.  Risk removed Feb 2013 – having been successfully implemented, this requirement is now fully embedded in the general provision of registers for election purposes – see No 26 above.	8	Prior knowledge of legislation. Liaison with Electoral Commission/SAA, Learnt from English authorities. Staff trained. Timetables established for collection. EROS system amended. Liaised with ROs. Provision of paper versions possible as fall-back. Additional finance included in budget. Joint publicity with EC. PIs collected in accordance with legislative timetable. Rolling processes now in place. ROs have access to system for checking purposes. Secure transfer mechanism in place.		Ongoing liaison with ROs.

				Systems and processes fully implemented for elections in 2009-2011.		Repeat process for 2012 local government elections
72	Technological	Failure to supply Summary Valuations to SAA portal.	1	Involvement in Project Board and Project Team. Involvement in systems specification. Training provided to programmer. Commitment to Progress development. DTF complete and SVs being displayed at portal secure area. Project implemented fully for 2010 revaluation	1	Risk could have been removed following go-live on 15 <sup>th</sup> March 2010 but maintenance of these and future development requirements remain possible risks.  Ensure that Summary Valuations are updated for material changes of circumstances and appeal settlements.  Retain for forthcoming 2017 Revaluation.
<b>2009 ADDITIONS</b>						
73	Financial	Failure to receive budgeted rental income	5	Leases in place  Q1 and Q2 rent charges for 2012/13 received. Charges for second half of 2012/13 year have been issued.	1	Implement recovery action via WDC if required.
74	Professional	Loss of key posts/ Changes to staffing structure (resultant from budget review)	3/5	Managers are currently in control of these decisions. Management Structures amended to enable efficiencies.	3/5	Ensure efficiencies are met in other budget lines. Succession planning including training for progression. Shadow working, skills transfers. Recruit to fill such vacancies as are required/affordable.
75	Legal	Failure to clear backlog of domestic survey work	8	Campbeltown office has continued to complete these. Priority surveys are highlighted for attention. See Risk no 4 above. Sections reminded of requirement to clear backlog. Significant inroads made into backlog during 2011/12. Targets established February 2012 for doing so in West section. Monitoring in place.	6	Continue to include domestic survey work in general update procedures but implement a specific domestic survey project if satisfactory progress is not made.
<b>2010 ADDITIONS</b>						
76	Professional	Failure to redistribute or absorb workload of Depute and Divisional Assessor lost through retirement	8	Redistribution of Depute's workload agreed/established.  Remaining DA in Clydebank to oversee two sections.	3	Review success of these changes.  Consider reversion to two DAs in Clydebank if appropriate.
77	Customer/	Increase in workload and expense	8	Accept Risk	6	Review options with VAC Asst

	Citizen	caused by 2010/11 and 2011/12 recession related NDR appeals.		Significant progress has been, and is being, made in relation to these appeals but though there is a financial risk/cost in the administration of these regardless of the merits of the appeals Appeals timetable is under review by Cabinet Secretary.		Secretaries. Review priorities dependent upon volume of appeals  Refer appeals to Lands Tribunal. Consider ways of reducing postal costs
78	Financial	Failure to finance appeals to VAC/LT/LVAC  Note that DABVJB will be over budget in 2012/13 in light of the cost of the mobile telecoms appeals at LT.	5	Budgetary provision has been increased for 2013/14	3	Review Budgetary position  Consider all evidence on merits and aim to achieve negotiated appeal settlements where appropriate.  Seek external funding for utilities appeals if required
<b><u>2011 ADDITIONS</u></b>						
79	Physical	Driving hired cars	1	See controls and actions for any loss of staff member.	1	Offer guidance to staff?  Ensure insurance of hire car covers business use
80	Professional	Loss of staff/reduction in hours worked through flexible retirement	8	Retirements only granted within exigencies of office and with approval of line managers. Financial situation establishes restrictions on extent. Presumption is now against granting such flexible retirements.	1	Consider refusing all future applications Improve efficiency, processes and procedures to offset (or in advance of) loss. Provide training as appropriate.
81	Professional	Removal of rate reliefs causing large numbers of MCC appeals	1	No controls possible? – matter for Ministers. Liaison with government officials through SAA may provide some input in to the decision making process and should, at least, provide some advanced warning.	1	Accept additional workload if it happens. Review priorities/resources if it happens.
<b><u>2012 ADDITIONS</u></b>						
82	Technological	IT architecture review has resulted in specific issues re resilience and performance where implemented  Risk replaces a number of previous risks relating to the 2010/11 architecture review.	2	Change to broadband not implemented in Clydebank. Citrix server/licences implemented in Campbeltown along with remote server access for batch processes etc Risks included in specific Electoral//Halarose Risk Registers Extra Juniper device in situ in Campbeltown	2	Clear and resolve items on Citrix Issues Log.  Prepare alternative approaches for critical periods.
83	Technological/	Failure to renew IT maintenance	9	Lists of licences/agreements prepared for	8	Improve inventory to include licence

	Financial	agreements		budgeting purposes. IT Inventory exists.		renewals, maintenance costs/cycles and upgrade timescales for all software, hardware and comms accessories.
84	Professional	Shared Services agenda/Move to single national Assessor makes organisation obsolete. (The likelihood of this risk occurring in 2013/14 is minimal and can be ignored but the item will be retained on register for the Medium to longer term risk)	7	Joint Board is a shared service already with no in-house back-office functions. No controls possible? – matter for Ministers. Liaison with government officials through SAA may provide some input in to any consideration of the issue and should, at least, provide some advanced warning but there is no control over local initiatives	4 (in-year) 7 (in longer term)	See controls.  Retain positions of influence in SAA etc. Maintain professional standards. Make progress with appeal disposals. Maintain shared services in support functions.
<b>2013 ADDITIONS</b>						
85	Legislative ( <i>et al</i> )	The Implementation of Individual Electoral Registration (IER) represents one of the largest challenges to the organisation in many years.	3 (in-year) 9 (in longer term)	Awareness of draft legislation/proposals including the CO process maps, user scenarios, Implementation plans. ERO/PAO membership of Cabinet Office (CO) Implementation Group. PAO membership of Halarose IER Development Group. Advice and guidance to be forthcoming from EC and CO. CO commitment to provide funding	1 (in-year) 8 (in longer term)	Due to the nature of this risk a separate risk register will be developed in due course. Consider PAO partial 'secondment' to CO Project Team.  Arrange for funding transfer. Plan canvass according to revised timetable
86	Professional	Use of social media interferes with operations of the organisation	6	Statement on mis-use provided to staff via Team Briefings/MTM Bullets. ICT Policies in place including restriction on access to social networking sites. Disciplinary Procedures in place	3	Develop & Implement a Social Media Policy
87	Legislative	Failure to develop and implement a Young Persons Register for the expected referendum on independence	9	Consultation with Scottish Government, through SAA, on developing policy. Awareness of draft legislation. Involvement in Halarose User Group. System requirements have been advised to EMS suppliers. Scottish Government commitment to fund additional costs	6	Maintain awareness of developing situation. Liaison with Halarose to ensure any necessary EMS changes are implemented. Implement publicity campaigns as required. Amend canvass processes as required.
88	All	The "Supporting Business – Promoting Growth" consultation in respect of the Non-Domestic Rating system may result in outcomes which will affect the functions and structure of the organisation. There is no specific risk known at this stage but a reference to the consultation will remain on the register for awareness purposes.				

**Annual Canvass Risk Register**

NO.	RISK DESCRIPTION	LIKELIHOOD	IMPACT	RATING	CONTINGENCY/ACTION	RESPONSIBLE OFFICER	REVIEW DATE
<b><u>PLANNING</u></b>							
1	ERO unable to evidence how he has met the duty to take necessary steps	2	2	4	Prepare a project plan for the canvass and lay out the strategy for meeting the duty and delivering an accurate and comprehensive register	PAO	To be confirmed for 2013
2	Staff and temporary canvassers are unclear about their roles and responsibilities	2	3	6	Project plan should include roles and responsibilities. Use training and support materials to ensure clarity and understanding of these	PAO AM Admin Staff (all levels)	November
3	Lessons from the canvass are not incorporated into planning for future registration activities	1	1	1	Integrate evaluation of performance and review of the canvass into the planning process (see Canvass 2012 report by JN)	PAO AM Admin Staff (all levels)	September 2013

<b><u>STAFFING</u></b>							
4	Limited experience of setting pay scales/ bonus payments for canvassers	2	2	4	Seek up-to-date advice from WDC Personnel reference the relevant policies and procedures.	PAO	In advance of November

5	Unable to appoint enough canvassers	3	3	9	Seek alternative sources of recruitment e.g. standing lists of Presiding Officers and Poll Clerks, local job centres, local newspaper advertisements	PAO/AM	October
6	Safety of canvassers generally and in specific areas	4	3	12	Use Lone Working Policy/Procedures. Issue "Health & Safety Tips" and ensure reference to Health & Safety and Lone Working in canvassers briefings/training.	PAO AM Admin Staff (all levels)	November
7	Canvassers encounter violence or dangerous situations whilst trying to call at property e.g. dogs or violence/abuse by occupants etc.	4	3	12	Training to include dealing with difficult and dangerous circumstances. Provision of guidance notes to canvassers. Canvassers should not risk injury; they should remove themselves from danger and make a report to the ERO office.	PAO AM Admin Staff (all levels)	November
8	Canvassers don't understand the registration process and their role.	4	3	12	Training and support (including provision of guidance notes) and supervision.	Admin Staff (all levels)	November
9	Poor performance by canvassers.	2	3	6	Training and supervision of canvassers. Monitor work throughout process to identify poor performers	Admin Staff (all levels)	November – March 2014
10	Houses in multiple occupation/gated/secure entry properties not accessible to canvassers.	4	2	8	Employ canvassers from within particular communities. Canvassers to record on canvass registers date/time attempted to call.	PAO AM Admin Staff (all levels)	February 2014

11	Persons within a property refuse to come to door or are apparently not at home.	2	2	4	Canvassers to record on canvass register dates/times they called at property. Look at what other steps can be taken e.g. inspection of council records.	Admin Staff (all levels)	February 2014
12	Strike action – Local Government Workers	3	4	12	If short-term intermittent strikes should be able to absorb disruption to work flow. Introduce overtime to clear back log. If long term strike look at employing agency staff.	ERO	November – March 2014
13	Staff illness	2	3	6	If short-term intermittent absence should be able to absorb disruption to work flow. If long term sickness look at introducing overtime to cope.	PAO	November – March 2014
14	Loss of telephone/internet/SMS service	2	3	6	Introduce overtime to deal with increased work load. Consider employing temporary staff.	PAO	November – March 2014

### **CONTRACTORS**

16	Missed printing deadlines	2	3	6	Close liaison with contractor to identify potential problems in advance.	PAO AM	In advance of November
17	Printing errors on the canvass forms	2	3	6	Quality checking of proofs/data	PAO/AM	November



18	Royal Mail performance results in non/late delivery and return of forms	2	3	6	Close liaison planning process with account manager at Royal Mail	PAO	November – March 2014
19	Royal Mail strike action	2	3	6	Close liaison with Printer for possible changes to timetable for issue of forms (to avoid strike)	PAO	November – March 2014

### **GENERAL**

20	By- election during canvass	2	2	4	If local election - introduce overtime if required. If general election introduce overtime and consider employing agency staff.	ERO PAO	November – March 2014
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### **ELECTORAL INTEGRITY**

21	“Irregular” registration forms received	2	2	4	Brief staff processing forms/checking data to look out for forms as per advice from the Electoral Commission. Contact police and Electoral Commission (see previous guidance)	Admin Supervisors	November – March 2014
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Rolling Registration Risk Register

NO.	RISK DESCRIPTION	LIKELIHOOD	IMPACT	RATING	CONTINGENCY/ACTION	RESPONSIBLE OFFICER	REVIEW DATE
<b>PLANNING</b>							
1	ERO unable to evidence how he has met the duty to take necessary steps to maintain the register of electors. A proactive approach is required throughout the year and not just during the canvass period in order to maintain complete and accurate registers, ensuring that all eligible persons are on the register and that all non-eligible persons are removed.	1	2	2	<ul style="list-style-type: none"> <li>▪ Prepare a timetable for rolling registration and lay out the strategy for meeting the duty and delivering an accurate and comprehensive register.</li> <li>▪ Ensure monthly issue of Voter Registration forms to potential electors identified from valuation/Council Tax staff visits and from checking other Council records.</li> <li>▪ Ensure monthly review procedures are in place.</li> <li>▪ Ensure monthly statistical reports on Rolling Registration processes, including reviews, are presented to Management Team. Annual stats to be included in Board and/or Annual Reports</li> </ul>	PAO	Prior to resumption in March 2014. (Timetable for 2013 already in place)

2	Staff are unclear about their roles and responsibilities	2	3	6	<ul style="list-style-type: none"> <li>▪ Create work plan to include roles and responsibilities.</li> <li>▪ Use training and support materials to ensure clarity and understanding of these (refer to ER system/clerical manual).</li> <li>▪ Ensure timetable is distributed to staff.</li> <li>▪ Ensure roles are clear in Job Descriptions</li> <li>▪ Review progress and procedures at Admin Working Group meetings</li> </ul>	PAO Admin Manager Admin Staff	As above
3	Preparation for any election which might be called during 2013/14 incorporated into monthly rolling registration timetable. Staff are unclear about their roles and responsibilities	1	1	1	<ul style="list-style-type: none"> <li>▪ Ensure rolling register timetable includes Local Government Election date(s)/Voter Registration cut off.</li> <li>▪ Create separate Local Government Election timetable(s).</li> <li>▪ Create work plan to include roles and responsibilities.</li> <li>▪ Involve relevant staff in meetings with ROs and roll-out outcomes of these meetings.</li> </ul>	PAO Admin Manager Admin Staff	As required

4	Strike action – Local Government Workers	1	1 (Impact could be much higher at critical times)	1	<ul style="list-style-type: none"> <li>▪ If short-term intermittent strikes should be able to absorb disruption to work flow.</li> <li>▪ Introduce overtime to clear back log.</li> <li>▪ If long term strike look at employing agency staff or third party data handlers, and</li> <li>▪ Requisition constituent councils for extra funding.</li> </ul>	ERO	Throughout year
5	Staff illness	2	1-3	2-6	<ul style="list-style-type: none"> <li>▪ If short-term intermittent absence should be able to absorb disruption to work flow.</li> <li>▪ If long term sickness look at introducing overtime to cope or re-allocating work between sections.</li> </ul>	PAO	Throughout year

### **FAILURE OF IT PROVISION**

8	System failure	2	3	6	<ul style="list-style-type: none"> <li>▪ Perform daily back-ups and store off site</li> <li>▪ Ensure hard copies of data are available</li> <li>▪ Back-up EMS server in place</li> <li>▪ Check WDC disaster recovery plan</li> </ul>	PAO AM Depute Assessor IS Liaison Officer Assistant IS Liaison Officer	Ongoing
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9	Network Failure	2	3	6	<ul style="list-style-type: none"> <li>• Use VPN to access server</li> <li>• Move staff to Garshake Road to access system</li> <li>• Create separate "Eros" Risk Register</li> </ul>	PAO Depute Assessor IS Liaison Officer Assistant IS Liaison Officer	Ongoing
10	Upgrades to Eros during 2013	4	3	12	<ul style="list-style-type: none"> <li>• Test on Eros Beta System</li> <li>• Attend Halarose meetings and workshops as appropriate</li> <li>• Ensure back up of system at all stages of implementation</li> </ul>	PAO Depute Assessor IS Liaison Officer Assistant IS Liaison Officer	May 2013 and as required

#### ELECTORAL REGISTRATION SOFTWARE SUPPLIER

11	Software supplier ceases to trade	2	3	6	<ul style="list-style-type: none"> <li>▪ Ensure ESCROW agreement in place and renewed annually</li> </ul>	PAO	November
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#### GENERAL

12	By - election during rolling registration	2	2	4	<ul style="list-style-type: none"> <li>▪ If local election - introduce overtime.</li> <li>▪ If general/SP election introduce overtime and consider employing agency staff, and</li> <li>▪ Requisition constituent councils for extra funding.</li> </ul>	ERO PAO	As required
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**ELECTORAL INTEGRITY**

14	"Irregular" registration forms/absent voting forms received.	2	2	4	Brief staff processing forms/checking data to look out for forms as per advice from the Electoral Commission. Contact police and Electoral Commission (see previous guidance). Refer to staff instruction regarding "Integrity" and "Absent Voting – General Advice". Ensure "Integrity Strategy" up-to-date	PAO Admin Manager Admin Supervisors	Ongoing
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**Electoral Integrity Risk Register**

No.	Risk Description	Likelihood	Impact	Rating	Contingency / Action	Responsible Officer	Review Date
<b>Applications for Registration</b>							
No.1	Register someone who is not entitled to be registered	2	3	6	<ul style="list-style-type: none"> <li>• train staff/provide guidance notes that explain what they should be alert to</li> <li>• liaise with SPOC and agree trigger points for referral</li> <li>• issue Notifications of Alteration for all voter applications during rolling registration period</li> <li>• if in doubt, ask for further information (or evidence as to age and nationality); check other records</li> <li>• conduct hearing, if appropriate</li> <li>• conduct review if doubts about existing registration</li> </ul>	ERO PAO Admin Manager	Annually ongoing

No.	Risk Description	Likelihood	Impact	Rating	Contingency / Action	Responsible Officer	Review Date
<b>Applications for an Absent Vote</b>							
No.2	Someone applying for an absent vote on behalf of someone else (whether fictitious or real)	2	3	6	<ul style="list-style-type: none"> <li>train staff/provide guidance notes that explain what they should be alert to</li> <li>liaise with SPOC and agree trigger points for referral</li> <li>check forms from same address for similar handwriting</li> </ul>	ERO PAO Admin Manager	Annually and review specifically prior to any known election.
No.3	Care home staff assisting with absent vote and signature waiver applications	3	3	9	<ul style="list-style-type: none"> <li>provide guidance for care homes at annual canvass and prior to any known election</li> </ul>	PAO Admin Manager Admin Supervisors	Annually and review specifically prior to any known election.
<b>Canvassers</b>							
No.4	'Armchair' canvassing	2	3	6	<ul style="list-style-type: none"> <li>supervise and monitor canvasser performance (e.g. compare response rates against other/previous returns)</li> </ul>	Admin Staff	Annually
<b>Access to the Register</b>							
No.5	Unauthorised access	2	3	6	<ul style="list-style-type: none"> <li>keep copies in a secure location</li> </ul>	Admin Staff	Ongoing
No.6	Taking of electronic notes or other means of unauthorised copying	2	3	6	<ul style="list-style-type: none"> <li>provide adequate training and guidance notes to supervising staff including library staff</li> </ul>	Admin Manager	Ongoing



No.	Risk Description	Likelihood	Impact	Rating	Contingency / Action	Responsible Officer	Review Date
No.7	Recipients of Register use information for non electoral purposes	2	3	6	<ul style="list-style-type: none"> <li>Issue guidance according to use allowed as per specific regulation.</li> </ul>	PAO Admin Manager Admin Staff	Ongoing
<b>Access to Forms</b>							
No.8	Unauthorised access to registration/absent vote application forms	1	3	3	<ul style="list-style-type: none"> <li>keep forms in a secure location</li> </ul>	Admin Staff	Ongoing
<b>Document Retention</b>							
No.9	Original documents are not retained for the appropriate period of time (police investigations into malpractice etc.)	2	3	6	<ul style="list-style-type: none"> <li>provide adequate training and guidance notes to supervising staff</li> </ul>	PAO Admin Manager	Ongoing

**Electoral Awareness Risk Register**

No.	Risk Description	Likelihood	Impact	Rating	Contingency / Action	Responsible Officer	Review Date
1.	Public information campaign targets wrong groups of people or too broad an audience	2	3	6	<ul style="list-style-type: none"> <li>Use centrally collated research (Electoral Commission, Local Council etc.) to understand the nature, barriers and attitudes towards registration of groups which have been identified as under-registered to ensure campaigns can be targeted.</li> </ul>	PAO Admin Staff	November 2013
2.	Registration campaigns are not thoroughly planned	2	3	6	<ul style="list-style-type: none"> <li>Review and evaluate previous campaigns. Lessons learned to inform planning (see also the template evaluation plan below).</li> <li>Conduct local research to understand the nature, barriers and attitudes towards registration of groups which have been identified as under-registered to ensure campaigns can be targeted.</li> <li>Carry out additional media relations work to reach target audiences – letters to editor planned to promote pre-election registration.</li> <li>Include Reviews of Campaigns in Service Plans</li> <li>Consult the Do Politics Centre website for advice on targeting specific audiences.</li> <li>Consult the Do Politics Centre website for information on under-registered groups</li> <li>Review Electoral Commission research on under-registered groups</li> </ul>	PAO Admin Staff	November 2013
3.	Available resources are not being	1	2	2	<ul style="list-style-type: none"> <li>Organisational budget and plans in place and expenditure reviewed periodically.</li> </ul>	ERO/PAO Management Team	Sept/Oct each year for next

No.	Risk Description	Likelihood	Impact	Rating	Contingency / Action	Responsible Officer	Review Date
	optimally utilised resulting in budget under- or over-spend				<ul style="list-style-type: none"> <li>• Development of plans to manage over/under spend.</li> <li>• Monthly budget reconciliation process by PAO, with variances reported to ERO/Management Team.</li> </ul>		financial year budget.

### EROS/Halarose System Risk Register

Note that this may not be the most up to date RR for EROs and that it will change markedly after the Disaster recovery server has been installed. A more up to date RR will be inserted on final approval of the overall Risk Register.

No.	Risk description	Cause	Likelihood	Impact	Rating	Contingency / action	Responsible officer	Review date
1.	Critical Failure of VJB EROS Server (vjberos)	<ul style="list-style-type: none"> <li>• Hardware failure</li> <li>• Software failure</li> <li>• Loss of power at Garshake Road</li> <li>• Larger scale problem such as loss of building due to disaster/fire etc.</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>• Real time EROS backup server and related software purchased and installed to allow switch at critical times.</li> <li>• Ensure backup routine is adhered too.</li> <li>• Ensure documentation is available to ensure seamless switch to backup server.</li> </ul>	David Paterson James Boyle	Ongoing
2.	Loss of network connection – Clydebank (fixed lines)	<ul style="list-style-type: none"> <li>• Networks drops (connection lost)</li> <li>• Network cable is disconnected</li> <li>• Faulty connection in kit room</li> <li>• Switch fails</li> <li>• Network line is cut, damaged</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>• Establish fault and follow necessary steps in conjunction with WDC ICT.</li> <li>• If network issue is local and confined to one PC or room move staff accordingly.</li> <li>• Use remote working</li> <li>• Move staff to Garshake Road or anywhere on the Council network</li> <li>• Consider installation of broadband line as backup</li> <li>• Temporary transfer of work to Campbeltown Office staff.</li> </ul>	David Paterson James Boyle	
3.	Loss of network connection – Campbeltown (broadband)	<ul style="list-style-type: none"> <li>• Network drops (connection lost)</li> <li>• Network cable is disconnected</li> <li>• Faulty connection in kit room</li> <li>• Juniper device fails</li> <li>• Switch fails</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>• Establish fault and follow necessary steps in conjunction with WDC ICT and BT.</li> <li>• Temporary transfer of work to Clydebank Office staff.</li> <li>• If one Juniper device fails, switch electoral staff to second device.</li> <li>• Additional Juniper device in situ in Campbeltown</li> </ul>	David Paterson James Boyle	
4.	Critical failure of DABVJB's intermediate servers Campbeltown or Clydebank)	<ul style="list-style-type: none"> <li>• Hardware failure</li> <li>• Software failure</li> <li>• Larger scale problem such as loss of building due to disaster/fire etc.</li> </ul>	2	2	4	<p><i>Should we be able to authenticate to other offices DC in event of our own being down? If so, Citrix would become solution in this event for Cbank.</i></p> <ul style="list-style-type: none"> <li>• Temporary transfer of work to Campbeltown Office staff.</li> <li>• Move staff to Garshake Road</li> </ul>	David Paterson James Boyle	

No.	Risk description	Cause	Likelihood	Impact	Rating	Contingency / action	Responsible officer	Review date
5.	EROS Client failure	<ul style="list-style-type: none"> <li>Staff unable to access EROS server from client</li> <li>Software failure</li> <li>PC failure</li> <li>Citrix client failure</li> </ul>	2	1	2	<ul style="list-style-type: none"> <li>Use Citrix Client</li> <li>Use other PC</li> <li>Reinstall client</li> </ul>	David Paterson James Boyle	Ongoing
6.	Critical failure of Citrix server	<ul style="list-style-type: none"> <li>Hardware failure of Citrix server at Garshake Road</li> <li>Loss of connection to Citrix server (network, power at server end)</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Connect to EROS using local client</li> <li>Connect to EROS using Remote Desktop PC or server (limited availability)</li> </ul>	David Paterson James Boyle	
7.	Failure of Adest software	<ul style="list-style-type: none"> <li>Software becomes corrupt</li> <li>PC fails</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Use Adest backup PC</li> <li>Use Remote Desktop Connection to PC or Server</li> <li>Reinstall software</li> <li>Use alternative office's scanning/indexing set-up</li> </ul>	David Paterson James Boyle	
8.	Failure of Adest PC used for scanning	<ul style="list-style-type: none"> <li>Hardware failure</li> <li>Local network connection failure</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Use Adest backup PC</li> <li>Use Remote Desktop Connection to PC or Server</li> <li>Resolve hardware issue</li> <li>Connect PC to different network port</li> <li>Use alternative office's scanning/indexing set-up</li> </ul>	David Paterson James Boyle	
9.	Failure of scanners	<ul style="list-style-type: none"> <li>Hardware failure on scanner</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Use Valuation scanners</li> <li>Ensure full documentation is available on how to implement this.</li> <li><i>Possibly test and add MFD's as secondary backup</i></li> </ul>	David Paterson James Boyle	
10.	Fax Failure What has fax failure got to do with Eros Risk?	<ul style="list-style-type: none"> <li>Hardware failure</li> <li>Telephone line is down</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Use Clydebank/Campbeltown office's fax</li> <li>Use e-mail</li> </ul>	David Paterson James Boyle	
11.	Telephone Failure	<ul style="list-style-type: none"> <li>Local failure in kit room</li> <li>Failure to office's lines</li> <li>Local network failure</li> </ul>				<ul style="list-style-type: none"> <li>Reboot phone system</li> <li>Use fax line (Campbeltown – option for Clydebank?)</li> <li>Use Clydebank/Campbeltown office's telephone</li> <li>Use mobile telephone network</li> </ul>	David Paterson James Boyle	

No.	Risk description	Cause	Likelihood	Impact	Rating	Contingency / action	Responsible officer	Review date
12.	E-mail failure	<ul style="list-style-type: none"> <li>Exchange Server Fails</li> <li>Firewall failure</li> <li>Network failure</li> <li>No local access to e-mail (due to other failure)</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>Use fax/post/telephone</li> <li>Use webmail</li> </ul>	David Paterson James Boyle	
13.	Lack of IT Resource	<ul style="list-style-type: none"> <li>WDC</li> <li>DABVJB</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Ensure DABVJB IT Team are aware of timetable</li> <li>Ensure DABVJB IT liaise with WDC ICT</li> <li>Ensure staff are available</li> <li>Review knowledge/skill set</li> <li>Ensure staff know each others responsibilities</li> </ul>	David Paterson James Boyle	
14.	No access to backup tapes	<ul style="list-style-type: none"> <li>Closed building due to out of office hours</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>Ensure WDC are aware of any timetables to ensure availability of tapes</li> </ul>	David Paterson James Boyle	
15.	Loss of EROS (unexpected)	<ul style="list-style-type: none"> <li>EROS upgrade</li> </ul>	1	3	3	<ul style="list-style-type: none"> <li>Ensure upgrade is planned and staff and respective councils are aware and agree to downtime.</li> </ul>	David Paterson James Boyle	