The Electoral Commission

(A)RO Risk register Warwick District

Scheduled for Combined Polls in Great Britain on 7 May 2015

Date: Jan-15

Author: Gillian Friar

Document version: 1

Reviews:			
Name	**Role**	**Date**	**Sign-off ( )**
Gillian Friar (GF)	Electoral Services Manger	Jan-15	
Chris Elliott (CE)	Returning Officer	Jan-15	
Graham Leach (GL)	Deputy Returning Officer	Jan-15	
Sam Collins (SC)	Contingency Manager	Jan-15	
Richard Southey (RS)	ICT	Jan-15	
Fiona Clark (FC)	Media Communications	Jan-15	
Maggie Welding (MW)	Electoral Service Officer	Jan-15	
Mike Snow (MS)	Deputy Returning Officer	Jan-15	
Jon Dawson (JD)	Finance	Jan-15	
Lorraine Henson (LH)	Finance	Jan-15	

How to use this template

This risk register template provides some example risks and suggestions for mitigating them. In addition to the risks identified in the template, you should also identify any other risks, including ones specific to your local circumstances, and how you would mitigate those. This template also provides a template issues register to log any issues that arise and subsequent action taken.

Defining the level of impact and likelihood of risk

Inherent risk evaluation

How **likely** is it that the risk going to happen?

- Unlikely – Likelihood of occurrence is relatively slim - <10% chance of occurrence
- Possible – Quite possible that the risk could occur especially if control measures are inadequate - 10% - 50% chance of
- Probable – More likely to happen than not - >50% chance of occurrence

What would the **impact** be if the risk was to crystallise?
- Minor – Unlikely to have a permanent or significant effect
- Moderate – Potential impact on performance and service delivery. May be adequately managed through existing processes
- Significant – Severe impact on performance through a reduced ability to deliver.

The 3x3 matrix below can be used to calculate the overall risk score:

	3	**3**	**6**	**9**
	Significant	(Significant & Unlikely)	(Significant & Possible)	(Significant & Probable)
	2	**2**	**4**	**6**
IMPACT	**Moderate**	(Moderate & Unlikely)	(Moderate & Possible)	(Moderate & Probable)
	1	**1**	**2**	**3**
	Minor	(Minor & Unlikely)	(Minor & Possible)	(Minor & Probable)
		1 - Unlikely	**2 - Possible**	**3 - Probable**
		LIKELIHOOD		

Residual risk evaluation

Once the appropriate action has been identified to address an individual risk, the action is given a score of 1 to 3 based on an assessment of how likely it is to be effective in reducing the risk (not all risks are capable of being reduced).

The risk owner will need to make an assessment as to whether the control measures are:

- **Good:** Would score a 3, i.e. control measures are fully in place, agreed by line manager and form part of everyday activity
- **Average:** Would score a 2, i.e. some controls in place but further actions to be planned and/or executed
- **Poor:** Would score a 1, i.e. no control measures in place as yet, although actions may be planned

The initial (inherent) risk score is then divided by the score for the control action to give a residual risk score. This is the ultimate assessment of the scale of the risk and whether it is Red, Amber or Green.

Risk register

Number	Risk	Cause	Impact description	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control score	Residual rating	Further action required	Lead Officer	Date of completion
PLANNING												
	Failure to ensure proper plans in place	No comprehensive written project plan	Necessary actions not completed or completed late	1	3	3	*Maintain and update project plan to ensure all necessary activities are planned for, and sufficient resources are available as and when required*	2	2	Monthly Project Board Meeting - weekly from Feb 2015	CE	on going
		Poor planning assumptions	Missed deadlines				*Ensure evaluation of previous electoral events has been integrated into the planning process*					
			Potential breach of legislation				*Ensure plans are in line with objectives and success measures*					
			Incorrect estimate of level of turnout				*Ensure plans reflect a realistic estimate of the level of turnout, basing it, at a minimum, on the turnout at the last equivalent polls and taking into account events that may increase turnout*					
		Misunderstanding of information needed from Cross Boundary Authorities for Kenilworth and Southam Constituency - Stratford DC and Rugby BC										
		High turn out of electors on 7 May	Unable to cope in polling station or run a successful count				*Set up regular project planning meetings between Warwickshire Election Officers with protocol to be followed*					

Risk	Cause	Impact	L	I	R	Controls / Mitigation	L		Residual	Action	Owner	Date
Incident within District during Election period and Chief Executive away from RSH.						*Three Members of Senior Management Team to stay at RSH to lead in such an instance.*				SMT to meet at Stoneleig Park in March to go through procedures.		
	Neighbourhood Planning Referendums					*Keep in contact with Planning Officers and Election Staff and Media Team to be ready with information for electors and Parishes affected*				Information from Electoral Commission for running NHPR		
LOSS OF PREMISES												
Loss of polling stations	Venue affected by flood, fire, vandalism, etc.	Voters unable to cast their vote	2	2	4	*Prepare list of alternative venues, including making standby arrangements for use of portacabins/mobile vehicles if necessary.* *Brief Presiding Officers on possible emergency alternatives (e.g. setting up a temporary polling station in their car)* *Make arrangements for electors to move to nearest polling station location.*	2		2		GF	on going
Loss of postal vote issue/ opening venue	Venue affected by flood, fire, vandalism, etc.	Delay in delivery of postal ballot packs If it affects the last opening session, potential delay to the verification and count	1	3	3	*Identify alternative venues - IT connection* *Have an emergency protocol in place, and ensure staff are briefed on what to do in such circumstances - Spa Centre/Riverside House -*	2		1.5	Spa Centre to check booking & Stoneleigh Park Events Manager for available venue	GF GL RS	Mar-15
Loss of verification and count venue	Venue affected by flood, fire, vandalism, etc.	Delay in completing the verification Delay in counting	1	3	3	*Identify alternative venues - at Stoneleigh Park with Events Manger and Police for security* *Have in place an emergency protocol that ensures the security of ballot papers*	3		1		GL SC GF	on going

	Risk	Cause	Consequence				Controls/Mitigation				Action	Owner	Status
			Delay in declaration of result *Re-run of election due to loss of Ballot Papers*				*Ensure staff are briefed on what to do in such circumstances - at Staff Trainings* *Have in place a process for notifying candidates and agents, the media and any other attendees of any changes to verification and count arrangements* *Ensure for safety of rooms/halls at Stoneleigh Park with sprinklers for protection of ballot papers from fire.* *Returning Officer to have security codes for storage room doors.*						
	Loss of elections office	Office affected by power failure, flood, fire, vandalism, etc.	Unable to administer elections Loss of data	2	2	4	*WDC emergency plan for relocation and security arrangements, and alternative temporary accommodation* *Have in place a process to re-direct enquiries and visitors* *Ensure daily back-up of data held off-site* *Ability to work from home & from Town Hall*	3		1	Ballot Papers on site 27/04 to 5/05	SC GL IT	on going
	Loss of elections stores	Stores affected by power failure, flood, fire, vandalism, etc.	Destruction of election equipment and Ballot Papers	2	3	6	*WDC emergency plan for relocation and security arrangements, and identify alternative temporary accommodation* *Liaise with equipment suppliers and printers for replacements at short notice/ECU/WDC* *Extra on site security at Riverside House*	3		2	Shaws can provide replacement screens/boxes	GF SC GL	on going
FAILURE OF IT PROVISION													
	Loss of IT capability	System or network failure Power failure	Unable to administer the election to the required deadlines Need to carry out processes manually	2	3	6	*Perform daily back-ups and download documentation onto disc for secure storage off-site* *Ensure hard copies of data are available*	3		2	Generators at Riverside House to pwer loss of power. Stoneleigh Park planning meetings for connection & generators	GF SC GL IT	

Risk	Cause	Consequence	L	I	Score		Mitigation		Residual	Action	Owner	Timing
						🟥	*Ensure IT systems to be able to connect between WDC, SDC & RBC for transfer of data* *Check with electoral registration/election management software supplier with regards to availability of duplicate system* *IT provider to ensure adequate support throughout the period of the election and particularly on critical days* *Emergency generator provision by IT provider*	🟩				
Delay in postal vote opening session	Technical problems with scanners/ printers	Unable to verify postal vote identifiers electronically Integrity of poll brought into question If it affects the last opening session, potential delay to the verification and count	1	3	3	🟧	*Ensure scanners have been fully serviced and tested* *Identify alternative printers and scanners within the building and ensure necessary network connections are in place* *Have sufficient scanning capacity so that the breakdown of one scanner would not delay a postal vote opening session* *Contingency plans for undertaking postal vote identifier verification manually ensuring that access to hard copies of postal vote application forms is available* *Early liaison with ERO(s) and elections staff in other local authority/authorities to make arrangements for obtaining data.*	2	1.5	Add item on Project Meeting Agenda Check with Ty for Input Richard Southey & Team from IT for building & running PV openings	CE GF RS	on going
	Problems obtaining data from other local authority/ authorities in cross-boundary constituencies	Unable to verify postal vote identifiers for electors in other local authority/ authorities. If it affects the last opening session, potential delay to the verification and count										

COMMUNICATION

	Risk	Cause	Effect	L	I	Score	Control measures	L	I	Score	Further actions	Owner	Status
	Queries unable to reach electoral staff	Telecom/fax/IT failure	Voter confusion	1	3	3	*Ensure dedicated line to election office, plus mobile numbers made available as back up*	3		1	meetings with contact centre trainers	GF Fiona Clark	on going
		Wrong advice given to voters	Voters unable to register or to vote				*Election Office Fax machine - 01925 456121 - Other fax machines within building to use if necessary*				Media Team involved in election communications		
		Lack of voter information					*IT provider to ensure adequate support throughout the period of the election and particularly on critical days*						
							Emergency generator provision by IT provider						
							Ensure all outgoing information contains election office contact details						
							Provide frontline/Contact Centre/Website staff with FAQs						
	Registration forms/postal vote applications do not reach office before the deadlines	Telecom/fax/IT failure	Voter confusion	1	3	3	*Ensure dedicated line to election office, plus mobile numbers made available as back up*	3		1	Training with Contact Centre and front line staff/Team Leaders	GF GL CE FC	on going
		Wrong advice given to voters	Voters unable to register and vote				*Democratic Services to seek out use of other fax machines within Riverside House to use if necessary*				Sufficient Elections Office staff to cope with the volume		
		Lack of voter information					*Xpress to ensure adequate support throughout the period of the election and particularly on critical days*				Fiona C & Media Team to develope media plan to raise awareness of deadlines		
							Emergency generator provision by IT provider				Awearness at Councillor/Candidates/Agents briefings		
							Provide frontline staff with FAQs.						
							Public awareness strategy to make provision for communication of key deadlines - Phone queue message to remind electors to register				Switchboard open on election day from 7am to 10pm		

		Individual electoral registration	Electors had absent vote at previous polls but are no longer able to do so, as they are yet to register individually					Check those who do not register individually in time to secure an absent vote at the elections Targeted work to encourage individual registration applications from such electors			
		Online registration	Impact of changes to registration system on the delivery of the polls has not been considered					At an early stage, work through, in detail, the practical impact of the changes to the registration process on the overall delivery of the polls.			

CONTRACTORS AND SUPPLIERS

	Non/late delivery of poll cards/postal ballot packs and Election Stationery	Missed printing deadlines or non-completion Printing errors Postal strike	Electors unaware of when/where to vote Voters unable to cast their vote	1	3	3	Check out performance of potential suppliers with other clients and consider visiting premises of the selected contractor to inspect capacity, set up and processes Regularly monitor performance against expectations - with contracts for ERS and idox Opt2Vote Close liaison with contractors including Royal Mail to identify potential problems in advance Contingency arrangements to print products elsewhere in the event of non-completion Ensure robust proofing procedures are in place and include quality checking mechanisms in contract or in any in-house arrangements prior to issue Close liaison with account manager at Royal Mail Discuss with DMC possibility of delivery by hand using in-house teams - can DMC provide alternative provider/carrier?	2	1.5	meetings with Royal Mail Postal Vote Team / local delivery managers. …………… working with ERS printing poll cards …………… working with Idox/Opt2Vote for postal packs …………………wo rking with Media Team for getting information to Electors ....pla ce orders early for stationery	GF FC DMC manager	on going

	Risk	Cause	Consequence	L	I	Score	Controls	I	Score	Further Actions	Owner	Timescale
							Process in place for re-issue of lost/not received postal ballot packs					
							Set up alternative Centres/collection points for getting postal ballot packs back to the Returning Officer in time for close of poll - promote ability for voters to hand in their completed postal ballots at polling stations in the voting area					
	Poll cards/ballot papers/postal ballot packs do not contain correct information	Printing errors / lack of checking mechanisms	Voters do not receive the correct information and are unable to cast their vote/ their vote is not counted	2	3	6	*Proofing procedure in office with Election Team and other staff - Jon Dawson, Tass Smith, Sam from Media and Julia from DMC.* *Confirm ballot paper details, including checking proofs as appropriate before printing. Up to 50 sets of ballots peprs to be checked* *Through training ensure Presiding Officers check the sequential numbering of ballot papers when collecting ballot boxes*	3	2	working with ERS & idox/Opt2Vote - checking process ……………. Elections Team trainings to set up process for checking proofs ……………...... Polling Staff trainings	GF CE GL	on going
INTEGRITY ISSUES												
	Possible electoral fraud not identified	Integrity issues not considered in planning process	Police investigations or legal challenges to the results of elections	1	3	3	*Contact with Warwickshire SPOC to assess the risk of electoral fraud in Warwick District.* *Through SPOC - able to manage risk of electoral fraud in District & any specific local risks* *Media Team communicating approach to tackling fraud in advance of polling day to provide reassurance to voters and campaigners*	2	1.5	SPOC at Warwickshire Election Officer meetings and attending Councillor/Candidates/Agents briefings	GF GL CE FC	on going

Risk	Cause	Impact				Controls			Further Actions	Owner	Status
An individual votes as someone else	Electoral malpractice	Integrity of the result is called into question	1	3	3	*Presiding Officers to ask statutory questions where appropriate* *Presiding Officer to hold police and Returning Officer contact number* *Trainings for polling station staff regarding recording / reporting / statements* *All postal vote statements are scanned at postal vote openings and adjudication by RO & DRO's*	2	1.5	Polling Staff Trainings & Postal Vote Opening staff	GF GL CE	on going
A threat to public safety	Public order incident	Delay/ postponement of poll	1	3	3	*Liaison with local police SPOC & Electoral Commission guidance* *Review & monitoring of security arrangements and analysis of risks* *Police attendance at polling stations and Stoneleigh Park according to level of risk*	2	1.5	Item on Project meeting Agenda	SC GL CE	on going
Ballot papers interfered with / or loss	Security of election stationery is breached Lack of secure storage of verified postal ballot papers	Integrity of the poll is called into question Possible fraud by copying ballot papers for extra votes for a candidate	1	3	3	*Secure storage of Polling Station ballot papers at Riverside House and Postal Vote ballot papers at Town Hall - RO is satisfied that all necessary steps taken to ensure that the ballot papers are kept securely - before and after the poll.*	2	1.5	Item on Project Meeting Agenda …………………… …………………… Town Hall to secure room for PV openings.	GL SC GF	on going
	Fire / flood at WDC premises	Impact on running the election	1	3	3	*Arrangements with suppliers to provide additional ballot papers at short notice.*	2	1.5	Extra security at RSH during period when ballot papers on site	GL SC GF	on going
	Presiding Officers home Tuesday/Wednesday before election day	Impact on running the election	1	3	3	*contingency arrangements with suppliers to provide additional ballot papers at short notice.*	2	1.5		GL SC GF	on going

Risk	Cause	Impact	L	I	Score	Mitigation	L	Score	Monitoring	Owner	Status
						As part of Polling Staff Briefings to ensure secure storage of election equipment is responsibility of Presiding Officer. To show empty ballot box at 7am on election day.					
Loss of Nomination Papers and key documentation	Unauthorised access to office	Administration error or theft. Impact could cause both disruption due to the re-run of election and reputation risk to WDC, Returning Officer and key staff. Non publication of information before deadlines	1	3	3	*Nominate Key staff and train to deal with and monitor large numbers of nomination papers* *Recording procedure in place& secure storage for nominations during election period.* *Limit access to documents and office to authorised key holders. Office storage is locked at all times.*	2	1.5	Item on Project Meeting Agenda	GF GL MW	on going
Death of Candidate	Death	Stopping / countermand poll	1	3	3	*Prepare procedure for verifying death of candidate* *Contingency arrangements if poll requires to be countermanded or abandoned taking into account implications in terms of staff required and how to deal with scheduled leave for staff falling within the new election timetable.*	2	1.5	Item in Project Meeting Agenda	GF GL CE SC	on going

STAFFING

Risk	Cause	Impact	L	I	Score	Mitigation	L	Score	Monitoring	Owner	Status
Unable to appoint sufficient staff	Insufficient/non-provision of resources Difficulty in recruiting suitable staff	Insufficient staff to cover processes	2	3	6	*CEO agree with Service Heads for the availability and release of WDC staff.Recruitement drive with WDC staff (including casuals), WCC Staff, Warwick Hospital, Warwickshire College, Warwick University (staff and students), Local supermarkets, local bank branches, Sixth form students* *All roles are now staffed and a few people have been placed on reserve lists for each role*	3	2	None as now fully staffed for all days of the Count.	MW GF GL CE	re run adverts during March
	Sickness	Insufficient number of staff to cover processes	2	3	6	*Ensure all staff have contact details for the election office for use in the event that they can no longer attend*	2	3	Item on Project Panning agenda ………………….. follow national guidelines for	SC GL GF CE	on going

			L	I		Control measures	L	I	Action	Owner	Timescale
Loss of Polling, Counting and Election Team staff and key Election Officers, Returning Officer and Deputies	Outbreak of pandemic or other contagious illness affecting large numbers of election staff					*Ensure list of trained, reserve staff with contact numbers is in place* *Provide appropriate training and guidance notes to staff who have been re-deployed and are carrying out unfamiliar tasks* *Keep up to date with WDC contingency planning unit* *WDC Contingency planning Team to advise on processes in place to minimise the risk of cross-infection, taking into consideration any advice provided by the Department of Health*			guidelines for national outbreak for illness		
	Stress related illnesses or unplanned leave	no election experience during running election	2	3	6	*Process in place to contact AEA and Electoral Commission to take over to run office & election.*	2	3	contacts to be made	GF GL CE	on going
						Consider impact of running of election without Officers. Project Planning Team consider with electoral commssion to defer election, call on neighbour Local Authorities for help.	2	3	contacts to be made	GF GL CE	on going
Insufficient support staff appointed	No detailed assessment of staffing requirements	Inability/difficulty in meeting deadlines Mistakes by overworked staff, which could adversely affect the voter	2 1	3 3	6 3	*Decide staffing requirements at an early stage in project planning process.* *Consideration needed by Project Planning Team for appointment of temporary support staff to assist them at different points of the process.*	2	1.5	Item on Agenda of Project Planning meeting	GF GL CE	on going
Mistakes by inexperienced staff or by staff not fully aware of legislation /procedure	Inadequate/lack of training	Voters are unable to cast their vote Results called into question	2	3	6	*Full training for all staff to ensure they are provided with the necessary information to be able to undertake their duties* *Ensure to provide adequate resources such as guidance notes and polling station handbooks to relevant staff*	2	3	Checking Ballot Paper cover before issue to Polling Station and electors . ……………….. Polling staff trainings giving out correct ballot papers to electors	GF GL	on going

POLLING DAY

Risk	Cause	Effect	L	I	Score	Mitigation	L	Score	Control	Owner	Timescale
Presiding Officer unable to gain access to polling station	Venue manager does not provide keys

Vandalism, loss of venue etc. | Delay in opening the polling station | 1 | 2 | 2 | Presiding Officer to open up temporary polling station outside with guidance from the electoral services office, pending access being made available

Electors to be moved to next nearest Polling Station to vote.

Use Polling Station Inspectors to troubleshoot any issues | 3 | 0.666666667 | Polling staff trainings to give guidance | GF GL | on going |
| Poor accessibility to the voting process, including for disabled voters | Polling station not set-up appropriately

Staff not adequately trained | Not everyone who is entitled to vote is able to do so | 1 | 2 | 2 | Accessibility issues to be highlighted in training sessions for polling station staff

Provide training for staff on good customer care and access issues

Give Presiding Officers instructions about installing any necessary accessibility alterations

Require Presiding Officers to set up the polling station with reference to the checklist in the polling station handbook

Ensure Presiding Officers and polling station inspectors carry out checks throughout polling day | 2 | 1 | Polling staff trainings to give guidance | GF GL | on going |
| Missing equipment | Equipment not properly prepared prior to poll | Delay in issuing ballot papers to electors | 2 | 3 | 6 | Election Team to use prepared check list for preparing sundries

Instruct Presiding Officer to check box and accompanying materials on receipt

Equip Polling Station Inspectors with spare equipment/stationery | 3 | 2 | maintenance check of booths carried out by Pinners | Rob Hoof GF GL | Mar-15 |
| Electoral registration problems | Errors on registers | Not everyone who is entitled to vote is able to do so | 3 | 3 | 9 | Establish communication procedures all staff to use on polling day to Election Office | 3 | 3 | staff trainings & EC / Cabinet Office advice | GF GL | on going |

Risk	Cause	Consequence	L	I	Score	Controls/Actions		Residual	Further action	Owner	Status
	Staff unaware of clerical errors procedure

Electors in Kenilworth & Southam - SDC & RBC Polling Stations and not WDC | Delay in contacting correct ERO and elector be able to vote | | | | *Ensure helpline, Website and Warwickshire Direct Offices are equipped to deal with all polling day queries and the electoral services office is staffed throughout polling day to handle electoral registration queries*

Ensure staff are aware of the different Authorities to direct electors to contact for help. | | | Business card/slip to give to electors at polling staiton with contact details for Elections Office regarding non registration. Make sure all 3 (WDC, SDC, RBC) contact details on card. | | |
| A threat to public safety | Problems with voter dissatisfaction or aggressive behaviour | Threatening behaviour towards staff

Delay/ postponement of poll | 2 | 3 | 6 | *Provide guidance and training to front line staff, including FAQs to assist with giving answers to common queries*

Provide guidance on dealing with aggressive customers, drawing on resources developed by other council departments

Provide contact details for the police | 2 | 3 | staff trainings and follow National guidelines | GF | on going |
| Electors confused to location of polling station | WDC new Ward boundaries | unable case vote | 2 | 3 | 6 | *Media Team to inform public in different methods to new polling station locations and Ward Councillors.*

Election Office provide information with poll cards and in polling stations for polling staff to advise public | 3 | 2 | Property Portal information for polling station and message on poll cards | GF FC | Mar-15 |
| Electors putting ballot papers in wrong ballot box | Elector confusion in polling station due to number of polls taking place | Verification Count and Ballot Paper Account not balancing | 2 | 3 | 6 | *Ensure Ballot Boxes are labelled correctly.*

Provide training at Presiding Officer briefing for staff on good customer care | 2 | 3 | Polling staff trainings to give guidance | GF GL | on going |
| The public are unable to cast their votes | Polling station runs out of ballot papers | Results of election called into question | 1 | 3 | 3 | *Allocation of 100% of ballot papers*

Use of polling station inspectors to monitor and troubleshoot throughout polling day | 3 | 1 | | GF | done |

			L	I	Score	Action/Mitigation	L	I	Further notes	Owner	Date
	Queues at polling station with Students	Results of polls called into question	2	3	6	Police advice and manage identified polling stations in areas with high Student population	3			2	GF GL SC	on going
						Ensure training of polling staff in accordance with Electoral Commission handbook			Polling staff trainings to give guidance with Poll Clerk at end of queue	GF GL SC	on going
						Polling Station Inspectors to assist in management of queques in Towns					
Obstruction to electors coming to vote at polling stations	Tellers and Candidates outside polling station	Complaints from electors and creation of queues	2	3	6	Candidates and Agents to be advised at briefing sessions of the role of tellers	3			2	GF GL CE	on going
	Media outside polling station					Guidance notes to candidates, agents, Media and polling staff available before election day.					
						Polling staff advised at trainings to explain tellers role and seek co-operation from party agents and candidates.					
	Exit Polls outside polling station					Polling Station Inspectors to assist with advising ar					
THE VERIFICATION AND COUNT											
Unable to begin counting votes at the UK Parliamentary election by 2am	Verification of all election ballot papers (Polling Station & Postal) - far distance PO's to travel from polling station & due high turn out - high volume of ballot papers	Delay in counting	1	3	3	*Plan to ensure completion of Verification during night ready to be counting UKPGE votes from 10am Friday morning (8 May) e.g. transportation arrangements for ballot papers/boxes, verifying postal vote identifiers on polling day, robust planning for verification process - using Xpress Count system to record all types of elections.*	3			1	Confirming with Electoral Commission for Parliamentary Counts to start 10am 8 May.	GF CE MS	Feb-15

Risk	Cause	Consequence				Action			Mitigation	Owner	Status
Insufficient space at venue(s)	Inadequate planning	Lack of transparency and loss of confidence in the process	1	3	3	*Plan layout of verification and count venue(s) in advance, allocating space to accommodate all those entitled to attend*	3	1	working with Stoneleigh Events Manager	GL SC CE GF	on going
Insufficient Senior Count Staff on Thursday, Friday and Saturday	Poor pay rates & lack or interest. Unable to recruit staff of high calibre & availability due to WDC Line Managers not releasing key staff from office Unable to recruit staff due to VE day celabrations during weekend (Friday 8th to Sunday 10th)	Loss of confidence in process and delay in result Mistakes by overworked staff, which could adversely affect the result	2	3	3	*Early identification of key internal staff needed and all Senior staff to be fully trained* *Part of Project Planning meeting to confirm overall requirement of staff for RO to approach Line Managers for release of key staff.*	2	1.5	Reinforce message with Line Managers. Review election fees with Warwickshire Election Officer meetings and Warwick District Regulatory committee. Regular updates on WDC intranet / advertising at WCC/Warwick Hospital/ Warwickshire college/University. Ask Sixth Forms if they would like to Count.	GF GL CE MW SC	on going
Warwickshire Police unable to have police presence at Count	VE day celabrations during weekend (Friday 8th to Sunday 10th)	Pressure on rescources from Warwickshire Police and then unable to have police presence at Count				*Part of Project Planning to consult with SPOC & Warwickshire Police*				GL SC	on going

Risk	Cause	Impact				Control Measures				Further Actions	Owner	Status
Entry to Count venue by public not entitled to be there	Failure by Security to check ticket of entry		1	2	2	*All staff & Candidates and Agents to hand in ticket at appropriate entrance to Security Team, sign in & out of venue, to wear appropriate coloured wrist band & all bags to be checked.*	3	0.666666667			GL SC	on going
Delay of delivery of ballot boxes from the polling station to the verification venue/failure of ballot boxes to arrive from the polling station	Presiding Officer has difficulties getting from the polling station to the verification venue (e.g., becomes lost, severe weather, car breaks down, has an accident)	Delay in verification	1	3	3	*Agree ballot box delivery routes from polling stations to verification location, especially with Polling Staff from Stratford and Rugby areas, may be new to Count Venue.* *Establish effective lines of communication between central control point and individual vehicles, all Polling Staff to have contact details of Polling Station Inspectors.* *Contact details of all Presiding Officers to be available at the verification venue*	3		1	Polling staff trainings to give guidance Take contact details to Count from Polling Station Inspectors Agree time all PO's should be at Count Centre before contacting Police	GL GF CE	on going
Security of ballot papers during Thursday night to Saturday.	Inadequate planning		1	3	3	*Liaise with police SPOC and Stoneleigh Events Manager on maintaining the security of ballot papers at all stages of the election process and over night Thursday and Friday* *Brief candidates and agents on the arrangements to increase confidence in the process*	3		1		GL SC CE GF	on going
Failure of IT systems	Failure of power supply, loss of data, equipment failure	Delay in verification Delay in counting	1	3	3	*Contingency, manual arrangements in place for verification and count figures/calculations* *WDC IT support staff and Stoneleigh Park staff available at the verification count venue* *Accept as risk of loss of power and deplay count until temporary lighting can be provided and run a manual count.*	3		1	Suply of paper/pencils/calculators at count for clerks to use.	GF RS GL SC CE	on going

Risk	Cause	Impact				Mitigation			Action	Owner	Status
Errors during verification of ballot paper accounts	Inadequate training	Delay to completion of verification and count Inaccurate result	2	3	6	*To make use of the Electoral Commission clear, easy-to-use ballot paper accounts to go with the Polling Station handbook and trainings* *Ensure Presiding Officers are adequately trained to avoid errors in the completion of their ballot paper accounts*	3	2	include in Polling staff trainings to give guidance	GF GL	on going
Evacuation of verification and/or count centre	Emergency alarm activated (due to fire, etc.)	Delay to declaration of result Security of ballot papers compromised Potential loss of ballot papers	1	3	3	*In place an emergency protocol for the verification/count* *Evacuation and re-entry procedures developed so evacuation can be conducted to ensure the verification and count are not compromised i.e., ballot boxes and papers are secured, Staff & Public & Media leave safely* *Make announcement at the start of the verification and count to communicate evacuation procedures and keep all staff, Candidates and Agents informed at all stages* *If re-entry is not possible, invoke contingency plan*	3	1	On Project Planning Agenda	GL SC CE MS GF FC/Media Team	on going
Discrepancy between the verification figure and the number of votes counted during Thursday, Friday or Saturday	Planning and administration not robust Verification and count procedures not sufficiently thorough or effective	Loss of confidence in the process Inaccurate result	1	3	3	*Check all ballot boxes have been verified and removed from main Count Hall* *Verification of all types of election ballot papers from same polling station - ballot boxes are opened together in case elector has placed ballot paper in wrong box.* *Verify all Unused Ballot Papers* *Check have all ballot boxes been brought into Count Hall from storage area* *Early planning with key staff and Returning Officer to confirm verification procedure and bringing ballot papers out of storage area to Count Hall* *Prepare templates of all documents which will be completed at the verification and count to provide a clear audit trail.*	3	1		GF GL CE MS	in going

Risk	Cause	Impact	L	I	Rating	Mitigation	I	L	Action	Owner	Status
Wrong ballot boxes handed over to Rugby and Stratford containing their local government verified ballot papers.	Incorrectly labelled boxes on Thursday night. WDC staff not checking with RO or DRO before releasing boxes	Delay of Count and loss of confidence in the process. Impact could cause reputation risk to WDC and Returning Officer and staff.	1	3	3	Returning Officer to check ballot boxes are correctly labelled before going into secure storage. DRO in charge of secure storage to check in and out of area before handover completed on Friday morning.	3	1		CE GL SC GF	on going
Delay of delivery of ballot papers to and from secure storage at Stoneleigh Park	Fire, Flood, Theft	Delay of Count and loss of confidence in the process. Impact could cause re-run of election and reputation risk to WDC and Returning Officer and staff.	1	3	3	*Provide secure environment for storage and employ security staff at Stoneleigh Park.* *Early planning with Returning Officer and Stoneleigh Park to confirm storage requirements for ballot papers* *Early planning with Police & SPOC to confirm procedures are in place for emergency*	3	1		CE GL SC GF	on going
Lack of understanding by candidates & Agents of the count processed Thursday to Saturday	Not familiar with Count procedure & confusion with different types of elections being held	Unnecessary questions directed at Returning Officer/Senior Officers and possible delay in Count and result of	1	3	3	*Provide clear information through out verification and count process, setting out progress and highlighting responsible officers.* *Ensure information is provided to candidates and agents prior to date, through briefing sessions for candidates and agents.*	3	1	part of Project planning meeting part of Candidates briefings	CE FC/Media	on going
Incorrect declaration of results	Miscalculation of number of votes In correct completion of forms Delay in result	Impact of Declaration of wrong candidate as Councillor could cause re-run of election and risk reputation of WDC and Returning Office and staff.	2	3	6	*Ensure robust verification procedures are in place and are followed* *Give full verification figures to candidates and agents before declaration* *Ensure Verification staff check figures before declaration, to check results against totals to ensure all votes have been accounted for including rejected votes.* *Consult all Agents before declaration of result*	3	2	training for Key Count Staff & Deputy Count Returning Officers	CE GF GL MS	on going

No preparaton for a Re-count						*Early planning with Returning Officer to confirm procedures.* *All senior key staff fully trained in processes* *Agree parameters for doing a full re-count or bundle check.*					
Legal action against the RO	Election petition	Result of election brought into question	1	3	3	*Maintain a clear audit trail of processes, including evidence of a project management approach and structured risk management process*	2	2		CE GF	on going