

OPERATIONAL / STRATEGIC	Electoral Event	Ref	Risk Type	DESCRIPTION OF RISK (Risk description should include cause/risk event/consequence)	RISK RATING (prior to implementing)	CRITICAL SUCCESS FACTOR (must be vital to the Depts. success / be synonymous with a high-level goal / link directly to a business plan, legislation, strategy or project)	CURRENT EXISTING CONTROLS/MITIGATION	CURRENT RESIDUAL RISK RATING (Taking)	ACTION PLAN / FUTURE MITIGATION / OPPORTUNITIES TO BE EXPLORED	HOW WILL PROGRESS BE MEASURED (See guidance in tab C)	TARGET DATE (or review date if target unknown)	RESPONSIBLE OFFICER	ASSISTANT DIRECTOR / DIRECTOR	RISK CHAMPION	Open/ Closed		
Strategic	By-election	RSK_001	Resources	<p>Description: There is a risk that the necessary resources (people, budget, venues and printed materials) may not be available within the required timescales/critical dates for an unscheduled by-election</p> <p>Cause: There is a requirement to deliver a by-election within 35 days of the Notice of By-Election being posted. The six month rule (date when a by-election can no longer be called and the vacancy to be published together with the scheduled May 2022 local elections) will start on 10 November 2021.</p> <p>Impact: The by-election may not be run as efficiently as expected; voters could be inconvenienced or disenfranchised</p>	4	5	<p>All necessary venues to conduct the poll can be secured by the Returning Officer</p> <p>Contingency venues for polling stations have been identified</p> <p>Print provider can produce and deliver the necessary polling materials according to the required specification and timeline</p> <p>The costs to deliver unscheduled elections can be met by the service/with additional support by the organisation and the additional budget pressure accepted.</p>	<p>Venues for polling stations are public buildings and can be commandeered by the Returning Officer</p> <p>Contingency venues for polling stations have been identified</p> <p>Presiding Officers will operate a contingency polling service from their vehicle if the venue is compromised.</p> <p>Elections staff pool is sufficient to ensure by-election can be resourced</p> <p>Communications to service managers where the 'sleeping army' of additional staff e.g. postal vote staff are located are kept informed of emerging issues which could trip a by election.</p> <p>Provision for snap electoral events is a requirement within contract with print providers/other suppliers</p> <p>Strategic Elections Board direction regarding acceptance of budget pressure created by snap electoral events</p>	2	5	10	<p>Venues are booked; all electoral activities can be accommodated as per requirements.</p> <p>Required number of experienced staff are appointed.</p> <p>Colleagues supporting key functions are available.</p> <p>Suppliers meet requirements within expected timeframes</p>	10/11/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	By-election	RSK_002	Resources	<p>Description: There is a risk that multiple by-elections may be called.</p> <p>Cause: Various situations beyond our control can emerge which result in seats becoming vacant.</p> <p>Impact: This would increase the pressure on the electoral services budget (circa £15k per by-election) and add pressure onto the service team - delivery against statutory deadlines in other elements of the service could be at risk.</p>	4	4	<p>By-elections are accurately predicted and planned for; the dates controlled to ensure the service is able to deliver all it's required statutory duties</p>	<p>Analysis of additional costs and impact on service budget to be identified</p> <p>Decision to be taken on how by-elections will be resourced (accept additional pressure on the budget and re-profile, or additional allocation from corporate centre?)</p>	4	2	8	<p>All electoral events, including any additional By-elections are efficiently delivered within all expected timelines and meet the electoral commission performance standards</p>	10/11/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	By-election	RSK_003	Resources	<p>Description: Electors may not receive the correct polling material (poll cards, absent voter packs, ballot papers)</p> <p>Cause: The printed materials for poll may be incorrectly printed or incorrectly distributed</p> <p>Impact: Electors may be confused, inconvenienced or disenfranchised if they receive the wrong materials or if the materials do not arrive in the prescribed timeframe.</p>	4	4	<p>All data is correctly collated and transferred to ensure electors are allocated the correct type of polling materials for their needs</p> <p>All printed materials are correctly formatted and produced to meet the specifications set by electoral services for the various polling materials</p> <p>All polling materials are correctly distributed, ensuring electoral received the correct polling materials for their needs, and within the prescribed timeframe</p>	<p>Quality assurance checks on data transfers to printer</p> <p>Quality assurance checks on print proofs prior to production of materials</p> <p>Quality assurance checks of printed materials prior to distribution</p> <p>Checks of distributed materials received via staff elector contacts</p>	2	4	8	<p>QA process will be a key line of enquiry with potential suppliers as part of the print tender process</p> <p>QA processes reviewed and improved following each electoral event</p>	10/11/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	By-election	RSK_004	Resources	<p>Description: There may not be sufficient experienced and capable staff available to complete all roles required to complete the poll for a By-election; there may be unexpected staff absences/late drop-outs from the staff team</p> <p>Cause: The by-election is delivered in a shorter timescale and the date of election falls within the school summer holidays - therefore key staff may already have leave booked</p> <p>Impact: There may be delays or errors arising from use of inexperienced staff - electors and candidates may be inconvenienced and electoral commission service standards may not be met.</p>	3	5	<p>Staff appointed provide the expected level of customer service and have the required knowledge and capacity</p> <p>Electors are able to cast their vote as expected and are confident it will be counted as they intend</p> <p>Candidates have confidence in the process and receive the expected level of customer service</p>	<p>All roles are appointed to using experienced staff who understand the commitment required</p> <p>Sufficient resilience is built into the staff team to ensure we have back ups for all key roles (using core team, 'sleeping army' and project staff as needed)</p>	2	5	10	<p>All postal voting, polling and count functions are efficiently completed</p> <p>Agent and candidate feedback regarding the process and the service provided by all staff is positive</p> <p>Voters are able to register and cast their vote as they expect and the absence of customer complaints supports this</p>	10/11/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	By-election	RSK_005	Resources	<p>Description: Key venues may be lost at short notice preventing completion of the poll</p> <p>Cause: Unplanned event such arising in loss of access, power, building, or building is rendered unsafe</p> <p>Impact: There could be a delay to the conducting of the poll resulting in confusion, inconvenience or disenfranchisement of electors</p>	3	4	<p>All required venues are fully operational as required</p> <p>Contingency venues are available and relocation is possible with minimal disruption to electoral processes</p> <p>All electors are able to complete the poll processes without inconvenience and within the expected timeframes</p>	<p>All venue bookings are confirmed at the earliest stages of an election being called</p> <p>Venues are checked by electoral services staff to ensure they meet requirements</p> <p>Contingency arrangements are planned and relevant suppliers and staff are briefed on contingency arrangements in case action is required at short notice (details are in the Departmental Recovery Plan)</p>	1	4	4	<p>Review of by-election contingency arrangements</p> <p>Review of by-election and any lessons captured to inform continual improvement planning</p>	10/11/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	By-election	RSK_006	Integrity	<p>Description: There may be delays in verifying the postal voting statements for the final collection of postal votes at the count venue</p> <p>Cause: The final collection of postal votes, which is anticipated to be very low in number, will be verified manually at the count venue removing the requirement for network connectivity and simplifying the count set up</p> <p>Impact: The count may take longer to complete</p>	2	4	<p>All postal vote statements are processed efficiently at the count</p> <p>The count is completed without delay</p>	<p>Projected volumes of postal votes arriving at polling stations between 17:00 and 22:00 are very low (< 21 based on Stoke ward in May 2018 election on a 36% turn out)</p> <p>Projected turnout for the by-election is lower than for the May election due to school holidays and previous lower by-election turnouts</p> <p>Manual verification process has been mapped and is as lean as possible</p> <p>Manual process has built in QA checks; signature checks will be against printed spreadsheet all postal vote applications</p> <p>ES Officer will call all Presiding Officers at 21:00 to collect final pre-close of poll sweep.</p>	1	4	4	<p>Monitoring of postal votes received to ensure it is in line with expected delivery flows</p> <p>Quality assurance checks of postal vote verifications to ensure accuracy and efficiency of process</p>	10/11/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	PDPR Phase 1	RSK_001	Resources	<p>Description: Polling Stations that have been identified as needing an additional inspection to establish options for improvement may not be available within the required timeframe</p> <p>Cause: Delay in securing a dedicated resource to deliver the PDPR combined with the core team having to focus on delivery of an unscheduled by-election has compressed the timeframe for PDPR preparation work to be completed - many key holders/venues are unavailable during summer holidays.</p> <p>Impact: Some polling station information may not be included in the ARO recommendations upon which the consultation will commence</p>	4	2	<p>Critical proposed improvements to the polling experience can be identified and consulted upon</p> <p>All issues that can be resolved within the PDPR process are included within the review</p> <p>Members, special groups and the public are able to view and comment on the proposals</p> <p>Additional ideas, suggestions and solutions can be obtained from the consultation process</p>	<p>Team members within electoral services have been trained on undertaking polling station inspections to ensure additional capacity whilst maintaining consistency</p> <p>Additional inspections may need to be scheduled as key holders return/venues re-open</p>	3	2	8	<p>Understand if there is an opportunity to expand upon the proposed recommendations as part of the engagement process</p>	30/11/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	PDPR Phase 2	RSK_002	Legislative	<p>Description: Suitable Polling Stations cannot be identified in district</p> <p>Cause: Shortage of accessible public buildings in some highly residential areas</p> <p>Impact: Voters in those areas cannot access a Polling Station that meets our desirable criteria</p>	4	3	<p>A clear methodology for identifying polling station has been written and presented to decision makers to frame our recommendations. Critical success factors for identifying a suitable polling stations are outlined in this document.</p>	<p>The methodology suggests a range of systematic mitigating actions that can be put in place to ensure that voters are able to participate in the poll (out of district polling station/ review of district boundaries/postal vote)</p>	4	2	8	<p>None identified at 13/10/2021</p>	30/11/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open

Strategic	P DPR Phase 2	RSK_003	Operation	<p>Description: Achieving the required balance of value for money versus convenience of access for electorate may be difficult/unachievable in all polling stations</p> <p>Cause: Limited availability of fit for purpose polling stations which meet all our criteria</p> <p>Impact: Some stakeholders may not be satisfied with the options proposed</p>	4	3	12	The critical success factors for this task are outlined in the methodology documents provided as part of the Project Initiation Document. Those criteria were designed in cooperation with Councillors and stakeholders.	Regular reviews of the projects Initiation Documents to ensure the recommendations of the project still meet the criteria stated originally. In cases when those are not met, review of original proposal and tracking of changes; regular engagement with Steering groups; open and transparent access to the method statements which will be published on the website.	3	3	9	None identified at 13/10/2021	Review of Business Cases at Project key dates stated in PID via progress report	Dec-21	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Strategic	P DPR - Phase 3	RSK_004	Legislative	<p>Description: Potential disruption to the delivery of the PDPR review causing delay beyond the statutory 16 months to complete it.</p> <p>Cause: Unplanned additional local or general election, or ward boundary review or the event outside of the control of the service requiring them to respond</p> <p>Impact: Reputational damage arising from Plymouth City Council non compliance with the Electoral Commission statutory deadline</p>	3	3	9	Delivery of the PDPR within the statutory deadlines, commencing on 23 October 2021 and completing (i.e. actions implemented 1 March 2022)	Dedicated Project Manager over establishment now in post to complete the review with sole focus on completing the PDPR. Review begins at the earliest time permitted by legislation and planned to complete 4 months ahead of the deadline - providing flexibility within the statutory timetable	2	3	6	None identified at 13/10/2021	Review of Business Cases at Project key dates stated in PID via progress report	Dec-21	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	P DPR - Phase 3	RSK_005	Service Delivery	<p>Description: Increased pressure on the service to deliver the necessary changes for use of new polling station and districts within compressed timescales</p> <p>Cause: Unscheduled election/referenda called in the period following the publication of the new polling stations and prior to the actions required to implement the changes being completed</p> <p>Impact: Pressure on the workforce may lead to increased potential for errors; some new changes to polling stations may not be implemented in time</p>	3	3	9	Electors in each district can easily identify which is their polling station for 2022. Polling cards accurately reflect the changes to the polling stations. Changes to polling districts and polling places are publicised on time.	The PDPR implementation phase is thoroughly planned during the consultation phase. Changes are tracked and action taken to ensure that new Polling Stations and new Polling districts can be implemented quickly and with a view to minimise confusion in the electors.	3	3	9	The delivery phase plan will have to be reviewed in parallel with the delivery plan for unscheduled elections.	TBC	01/03/2022	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	P DPR - Phase 3	RSK_006	Service Delivery	<p>Description: Unforeseen problems arise in use of the new polling stations during an election (accessibility, amenities)</p> <p>Cause: The suitability of proposed polling stations has not been fully tested.</p> <p>Impact: Some voters may be inconvenienced; polling staff may have unforeseen problems to overcome</p>	3	3	9	All polling stations meet standards set by the electoral commission in terms of access and amenities	All proposed Polling stations are visited to check their suitability against strict assessment criteria. Polling Station Assessment Forms are completed for all polling stations and kept up to date. New polling stations are identified and prioritised for inspection. Feedback is requested from inspectors and polling station staff after each elections. The capacity of polling stations will be tested against projected electorate numbers. Fully test the polling stations.	3	3	9	The delivery phase plan will have to be reviewed in parallel with the delivery plan for unscheduled elections.	TBC	01/03/2022	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Operational	P DPR - Phase 3	RSK_007	Financial	<p>Description: Potential unplanned increase in costs of providing changes to polling stations</p> <p>Cause: Unforeseen issues arising in use of new polling stations requiring mitigations to be implemented at cost to Plymouth City Council</p> <p>Impact: Costs incurred for delivering polling stations increases putting pressure on the budget</p>	4	3	12	The review should not incur any substantial additional costs. Opportunities for savings will be identified as part of the review, for example by reducing the cost associated with using mobile polling stations.	Polling stations are visited to check their suitability. Full assessment form for each polling station, with up to date access rating. Consultation of all previous information relating to polling stations. Identified access issues resolved immediately, with costed options for improvements identified and planned and monitored; risks for polling stations also identified including potential for additional costs to be incurred.	3	2	6	The delivery phase plan will have to be reviewed in parallel with the delivery plan for unscheduled elections.	TBC	10/12/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Strategic	P DPR - Phase 3	RSK_008	Reputational	<p>Description: Failure to adequately communicate to stakeholders the purpose of the review, the criteria and how they can respond</p> <p>Cause: Stakeholders are unhappy with the outcome of the review</p> <p>Impact: Adverse publicity from complaints in the media from residents experiencing unforeseen access issues</p>	3	3	9	Compliance with Schedule A1 of 1983 Representation of the People's Act. Compliance with Disability Access Act 1995 and Equality Act 2010.	Compliance with best practice guides from Electoral Commission and information sought from other Local authorities. Full individual assessment of all polling stations are completed and maintained, and a register of polling stations put in place. Access is made a priority during consultation phase and clearly identified on each form; relationship established with polling station venue Person in Charge to ensure any changes to the physical fabric of the building, access or use of the polling venue is communicated in advance/prevented where possible.	2	3	6	The delivery phase plan will have to be reviewed in parallel with the delivery plan for unscheduled elections.	TBC	10/12/2021	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open
Strategic	P DPR	RSK_009	Reputational	<p>Description: Appeals to the Electoral Commission</p> <p>Cause: Stakeholders do not agree that the review was conducted in accordance with the electoral commission guidance so as to - meet the reasonable requirements of electors in the constituency - take sufficient account of disabled access to polling stations</p> <p>Impact: Potential reputational damage arising from adverse publicity; potential costs incurred/additional effort required to rectify the issues.</p>	3	3	9	The review must evidence that it is meeting the reasonable requirements of electors in the constituency and that it is taking sufficient account of disabled access to polling stations	Method and Approach is published; criteria for prioritisation and change are developed with input from Steering Group. Polling stations are visited to check their suitability. Full assessment form for each polling station, with up to date access rating. Consultation with Disability Support Groups and Health professionals with qualifications/interest in disability	2	3	6	Visits with PCC occupational therapist Visits with disability support group representatives	After the publication of the review	Jan-22	Glenda Favor-Ankersen	Giles Perritt	Maddie Halfax	Open