

Risk Assessment: Alternative Voting Methods Identify → Categorize → Evaluate → Respond

The purpose of this document is to list risks considered or assumptions made and ensure enterprise risk management, being a continuous, proactive and systematic process to identify, understand, manage and communicate risks from an organization wide perspective.

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Descriptions and Definitions

Risk: uncertainties that could impact the achievement of objectives. It is measured in terms of impact and likelihood.

Risk categorization:

Technical: risk of failure of functionality and performance. Addresses the hardware and software tools and supporting equipment. May be due to capacity, suitability, usability, familiarity, reliability, system support and deliverability.

Financial: budget / cost.

Reputational: risk to trust and confidence in municipal systems and administration

Legal: risk where the source or consequence is legal in nature

Service: risk to key City services or service delivery.

Risk description: identify the risk, its triggers, and those impacted by the risk.

Risk evaluation: assessment of the likelihood and impact of an identified risk.

Risk likelihood: a qualitative description of probability or frequency (Low/Moderate/High). Matrix found on page 14.

Risk impact: the outcome of an event expressed qualitatively or quantitatively, being a loss, injury, disadvantage or gain. Range of possible outcomes associated with a risk (Low/Moderate/High). Matrix found on page 13. While in varying degrees, the risk has been identified as impacting all stakeholders, including the public, candidates, and the corporation, unless otherwise identified.

Risk management: the process of identifying, analysing, evaluating, mitigating, communicating and monitoring risks.

Risk options: Mitigate, Avoid, Accept, Transfer.

Risk response: identify if the risk can be mitigated, and how, and if a contingency plan is required.

Risks applicable to in-person paper-ballot voting options					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
1.	<p>Voter’s List Accuracy of voters’ list, particularly relating to tenant information.</p> <ul style="list-style-type: none"> Ineligible voters receiving credentials to vote Eligible voters may not be included thereby reducing opportunity to vote (principle of enfranchisement) 	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	<p>Likelihood</p> <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H <p>IMPACT</p> <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input type="checkbox"/> Accept <input type="checkbox"/> Transfer	<p>Mitigation:</p> <ul style="list-style-type: none"> Communication in advance to eligible voters about the voter’s list Methods to amend the voters list included at polls Ability for voters to provide identification to vote
2.	<p>Voter misrepresentation and fraud</p>	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input checked="" type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	<p>Likelihood</p> <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H <p>IMPACT</p> <input type="checkbox"/> L <input checked="" type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input type="checkbox"/> Accept <input checked="" type="checkbox"/> Transfer	<p>Mitigation:</p> <ul style="list-style-type: none"> Require voters to produce identification Where identification is not available, have voters complete a declaration of identity Any reports of fraud will be reported to the Ministry

Risks applicable to in-person paper-ballot voting options					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
3.	Vote Counting Technology Optical scan vote tabulator breaks down or there is an issue with technology during the election	<input checked="" type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	Likelihood <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H IMPACT <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation: <ul style="list-style-type: none"> • Include language in service and maintenance contract to include provisions of services to assist in the event of a breakdown • Paper copy of the vote is available through the physical ballot that can be calculated manually if required • Additional tabulator units will be procured to provide back-ups for any failures
4.	Poll Staffing: Last minute disruptions in staffing at poll locations due to illness or other.	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	Likelihood <input type="checkbox"/> L <input checked="" type="checkbox"/> M <input type="checkbox"/> H IMPACT <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation: <ul style="list-style-type: none"> • Hire additional staffing compliment to ensure replacements are available

Risks applicable to in-person paper-ballot voting options					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
5.	<p>Poll Location Unavailable: For reasons, not under the control of elections staff, the facility identified as a poll location is not available for the voting day as identified on voter cards.</p>	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	<p>Likelihood</p> <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H <p>IMPACT</p> <input type="checkbox"/> L <input checked="" type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	<p>Mitigation:</p> <ul style="list-style-type: none"> identify a location to be used as an emergency location for a voting poll create a communications strategy to inform voters if a location is no longer viable create signage ready to go, to attach to unusable location to redirect voters.
6.	<p>Pandemic: Due to a pandemic lockdown, polls will be shut due to Provincial restrictions</p>	<input type="checkbox"/> Technical <input checked="" type="checkbox"/> Financial <input type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	<p>Likelihood</p> <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H <p>IMPACT</p> <input type="checkbox"/> L <input type="checkbox"/> M <input checked="" type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	<p>Mitigation:</p> <ul style="list-style-type: none"> Depending on the time of notice by the Province, staff may be able to produce a fully vote-by-mail election. The City Clerk could invoke section 53 of the Municipal Elections Act to delay the election – this will likely be a Province wide interruption and will include consultation with the Province and other impacted Municipalities

Risks applicable to all unsupervised alternative voting options (both vote-by-mail and vote at home)					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
1.	<p>Unsupervised Voting: A loss of transparency in traditional sense with reduced oversight of some components of the voting process by candidates and scrutineers</p>	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	<p>Likelihood</p> <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H <p>IMPACT</p> <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	<p>Mitigation:</p> <ul style="list-style-type: none"> • Education and outreach • View votes being scanned to increase transparency and openness • Audit group review any ballots that cannot scan properly in an open and transparent process.

Risks applicable to all unsupervised alternative voting options (both vote-by-mail and vote at home)					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
2.	<p>Accuracy of Voter’s List: (particularly relating to tenant information)</p> <ul style="list-style-type: none"> • Ineligible voters receiving credentials to vote • Eligible voters may not be included thereby reducing opportunity to vote (principle of enfranchisement) 	<input checked="" type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input checked="" type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	<p>Likelihood</p> <input type="checkbox"/> L <input type="checkbox"/> M <input checked="" type="checkbox"/> H <p>IMPACT</p> <input type="checkbox"/> L <input type="checkbox"/> M <input checked="" type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input type="checkbox"/> Accept <input type="checkbox"/> Transfer	<p>Mitigation:</p> <ul style="list-style-type: none"> • Require advanced registration to allow for verification of identity and eligibility • Verification of elector against the voters list. Only verified electors would receive a ballot; those not on the list but eligible would be directed to add their information on the voters list • Clerk review & cleanse MPAC data within legislative parameters
3.	<p>Voter Authentication</p>	<input checked="" type="checkbox"/> Technical <input type="checkbox"/> Financial <input type="checkbox"/> Reputational <input checked="" type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	<p>Likelihood</p> <input type="checkbox"/> L <input checked="" type="checkbox"/> M <input type="checkbox"/> H <p>IMPACT</p> <input type="checkbox"/> L <input type="checkbox"/> M <input checked="" type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input type="checkbox"/> Accept <input type="checkbox"/> Transfer	<p>Mitigation:</p> <ul style="list-style-type: none"> • Require registration in advance to allow for verification of identity and name on voters list • Communication strategy to have voters use online registration tool • MPAC authenticates ability to vote

Risks applicable to all unsupervised alternative voting options (both vote-by-mail and vote at home)					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
4.	Voter Coercion: Influence on vote from external source	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input checked="" type="checkbox"/> Legal <input type="checkbox"/> Service	Likelihood <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H IMPACT <input type="checkbox"/> L <input type="checkbox"/> M <input checked="" type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation: <ul style="list-style-type: none"> Enhanced education for electors Ballots are distributed in a sealed envelope to ensure ballot is received untampered Inclusion of a signed declaration in the ballot when returned to the City
5.	Court Challenge to Validity of Results	<input type="checkbox"/> Technical <input checked="" type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input checked="" type="checkbox"/> Legal <input type="checkbox"/> Service	Likelihood <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H IMPACT <input type="checkbox"/> L <input type="checkbox"/> M <input checked="" type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation: <ul style="list-style-type: none"> Strong and defensible policies and procedures in place which comply with MEA principles and follow best practices/lessons learned from court challenges

Risks applicable to all unsupervised alternative voting options (both vote-by-mail and vote at home)					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
6.	<p>Large Volume of Requests: Large volume of voters request to use alternative methods, requiring greater staff resources and additional funding</p>	<input type="checkbox"/> Technical <input checked="" type="checkbox"/> Financial <input type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	<p>Likelihood</p> <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H <p>IMPACT</p> <input type="checkbox"/> L <input type="checkbox"/> M <input checked="" type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	<p>Mitigation:</p> <ul style="list-style-type: none"> Estimate uptake based on similar municipalities' experiences Cross-train staff and ensure familiarity with all methods Staff will report to Council with additional funding request to support increased uptake

Risks applicable specifically to Special Vote-by-Mail as identified in staff report					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
1.	Ballots are lost in the mail	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input checked="" type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	Likelihood <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H IMPACT <input type="checkbox"/> L <input checked="" type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation: <ul style="list-style-type: none"> Staff will work with Canada Post in advance of and during the mail-in ballot window to ensure prioritization of ballots Staff will ensure that ballot envelope marking is clear A process will be developed to address situations where requested vote-by-mail ballots are mailed out by the City and are not received by the elector. Tracking system will enable City to verify that ballots have been received, and conversely, that electors can track to ensure that their return ballots have been received by the City. Staff will work with vendor on process to ensure re-issuance can be handled successfully with full tracing

Risks applicable specifically to Special Vote-by-Mail as identified in staff report					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
2.	Postal Strike occurs during the window for special vote-by-mail	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	Likelihood <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H IMPACT <input type="checkbox"/> L <input checked="" type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation <ul style="list-style-type: none"> • Drop boxes will be available for return of ballots • Staff will pick up ballots where necessary • We will work with Canada Post to ensure that any ballots in the mail system will be handled separately • Depending on timing of strike, we may have to adjust our communication strategy and may need to cancel vote by mail
3.	Vote-by-mail vendor system fails	<input checked="" type="checkbox"/> Technical <input type="checkbox"/> Financial <input checked="" type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	Likelihood <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H IMPACT <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input checked="" type="checkbox"/> Avoid <input type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation: <ul style="list-style-type: none"> • Logic and accuracy testing by staff • Third party security and threat risk assessment • Election administration procedures • Vendor Management

Risks applicable only to Vote at Home as identified in staff report					
Risk	Risk Description	Risk Categorization	Risk Evaluation	Risk Options	Risk Response
1.	Health and Safety: Staff unable to attend home visit due to health and safety concerns	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input type="checkbox"/> Reputational <input type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	Likelihood <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H IMPACT <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation: <ul style="list-style-type: none"> Other measures, such as proxy-vote or curbside vote could be explored where a home visit is unsuccessful
2.	Staff Safety: Risk to staff executing the vote at home solution.	<input type="checkbox"/> Technical <input type="checkbox"/> Financial <input type="checkbox"/> Reputational <input checked="" type="checkbox"/> Legal <input checked="" type="checkbox"/> Service	Likelihood <input checked="" type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H IMPACT <input type="checkbox"/> L <input type="checkbox"/> M <input checked="" type="checkbox"/> H	<input checked="" type="checkbox"/> Mitigate <input type="checkbox"/> Avoid <input type="checkbox"/> Accept <input type="checkbox"/> Transfer	Mitigation: <ul style="list-style-type: none"> Staff would work in pairs to ensure staff safety. Staff scheduling would be in place so that the elections team would know where staff are at all times.

Risk Impact Scales

Impact	Risk Impact Scales				
	Very low	Low	Medium	High	Very high
	1	2	3	4	5
Reputation	<ul style="list-style-type: none"> - Little or no impact on level of trust in City (council and staff) - Public reaction minimal - no effect on City’s profile 	<ul style="list-style-type: none"> - Adverse/negative view of City (council and staff) is limited to a small area/community group. - Public reaction contained – City’s profile raised within local boundaries 	<ul style="list-style-type: none"> - Adverse/negative view of City (council and staff) is held by neighbourhoods/ multiple community groups. - Public reaction considerable - City’s profile raised within GTA boundaries 	<ul style="list-style-type: none"> - Adverse/negative view of City (council and staff) spans ward boundaries/ majority of community groups - Public reaction major - City’s profile raised within provincial boundaries 	<ul style="list-style-type: none"> - Adverse/negative view of City (council and staff) is community-wide - Public reaction severe - City’s profile raised within national boundaries
Operations	<ul style="list-style-type: none"> - Little or no impact on operations/delivery of all services - Minor adjustments required - No material service interruption 	<ul style="list-style-type: none"> - Public reaction contained – City’s profile raised within local boundaries - Minor changes necessary to deliver all services but manageable within complement/ operations. - Short term temporary interruption – backlog cleared < 1 day 	<ul style="list-style-type: none"> - Changes necessary to deliver core services require few additional resources - Workarounds to deliver service manageable - Medium term temporary interruption – backlog cleared by additional resources 	<ul style="list-style-type: none"> - Major changes necessary to deliver core services require some additional resources and time to complete. - Workarounds to deliver services complex - Prolonged interruption of services – additional resources; performance affected 	<ul style="list-style-type: none"> - Significant changes necessary to deliver core services require numerous additional resources and extended period of time to complete. - No alternatives or workarounds to deliver services exist - Indeterminate prolonged interruption of services – non-performance
People (staff & citizens)	<ul style="list-style-type: none"> - Little or no impact on staff’s performance/ morale - No injury; scare only 	<ul style="list-style-type: none"> - Isolated performance/ morale issues - Minor non-immobilizing injury or trauma not requiring hospital treatment 	<ul style="list-style-type: none"> - Performance/ morale issues found within a department - Non-immobilizing injury or trauma but requiring hospital treatment 	<ul style="list-style-type: none"> - Performance/ morale issues found across departments - Immobilizing injury or trauma requiring hospital treatment 	<ul style="list-style-type: none"> - Wide-spread degradation in performance/ morale - Work to rule/strike - Severe injury or trauma requiring urgent hospital treatment – may be life threatening or fatal
Service	<ul style="list-style-type: none"> - Few or no complaints from citizens/community groups 	<ul style="list-style-type: none"> - Intermittent complaints on inefficiencies/level of service from citizens/community groups 	<ul style="list-style-type: none"> - Steady level of complaints on inefficiencies/level of service from citizens/community groups 	<ul style="list-style-type: none"> - Volume of complaints on inefficiencies/level of service exceeds ability to respond 	<ul style="list-style-type: none"> - Public outrage at inefficiencies/level of service demonstrated outside of City facilities
Financial	<ul style="list-style-type: none"> - Little or no impact on budget 	<ul style="list-style-type: none"> - Able to accommodate within department budget 	<ul style="list-style-type: none"> - Able to accommodate within corporate budget 	<ul style="list-style-type: none"> - Able to accommodate within existing budget but only with service cuts and/or reserve funds 	<ul style="list-style-type: none"> - Unable to accommodate within budget
Non-compliance	<ul style="list-style-type: none"> - Letter received, no impact 	<ul style="list-style-type: none"> - Letter received – increased monitoring 	<ul style="list-style-type: none"> - Suspension or administrative monetary penalty 	<ul style="list-style-type: none"> - Moratorium - Suspension and administrative monetary penalty 	<ul style="list-style-type: none"> - Litigation - Prosecution - Criminal charges - Provincial intervention

Risk Likelihood Scales

Risk Likelihood Factors	Risk Likelihood Scales				
	Low/Remote			High/Certain	
	1	2	3	4	5
Controls	<ul style="list-style-type: none"> - Best in class/industry - Seen as industry leader in best practices - Controls cover all aspects of the risk - Excellent performance of/compliance with controls 	<ul style="list-style-type: none"> - Key best practices adopted and working - Very effective controls - Very good performance of/compliance with controls 	<ul style="list-style-type: none"> - Few best practices adopted - Somewhat effective controls - Good performance of/compliance with controls 	<ul style="list-style-type: none"> - No best practices adopted - Significant aspects of the risk are not covered by the controls - Poor performance of/compliance with controls 	<ul style="list-style-type: none"> - Below industry standards - Not aware of best practices - Ineffective controls - Controls not performed
Past experience	<ul style="list-style-type: none"> - Happened once or twice in corporate history 	<ul style="list-style-type: none"> - Happened once or twice in past five to ten years 	<ul style="list-style-type: none"> - Happened within last two years 	<ul style="list-style-type: none"> - Happens frequently/multiple times in the last year 	<ul style="list-style-type: none"> - Happens daily/weekly
Judgement	<ul style="list-style-type: none"> - Rare 	<ul style="list-style-type: none"> - Unlikely 	<ul style="list-style-type: none"> - Possibly 	<ul style="list-style-type: none"> - Likely 	<ul style="list-style-type: none"> - Almost certain/sure