



ONS(ONC(SC))98/03

ONE NUMBER CENSUS STEERING COMMITTEE

One Number Census Risk Register

1. This paper includes the One Number Census risk register and the assumptions behind these.

2. **The Steering Committee are asked to:**
 - a) **note the paper and**

 - b) **provide any comments at the meeting on the 27 April 1998, or in writing by 10 May 1998.**

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One Number Census Risk Register

Introduction

The attached table identifies risks and issues associated with the development and implementation of the One Number Census (ONC) process.

Overview

The primary purpose of the ONC is to provide Local Authority District (LAD) level estimates by age-sex groups adjusted for undercount by:

- a) Carrying out a coverage survey - Census Coverage Survey (CCS). This will be designed to produce population estimates for large areas (large LADs or groups of smaller LADs) for a specified level of precision, allowing for variability in age-sex and hard to count groups and ensuring coverage across all LADs. To make direct estimates for all LADs would require a much larger sample size.
- b) Reconciling census-based estimates at a) with the demographic estimates produced by Population and Vital Statistics Division using rolled forward 1981 Census data and aggregate level administrative records (Health records, births and deaths etc).
- c) Using the CCS data to model down to small areas in order to derive probabilities of individuals being missed. These can then be used to impute a complete database which can be used to tabulate as required. Alternatively the probabilities can be used to derive to weights which can be added to the data base which can then be used for tabulation as required.

Assumptions/prerequisites

- The Census is carried out successfully and unless there is a major disaster with the Census a coverage survey (CCS) will also take place.
- Census day is 29th April 2001.
- The Census aims at a complete enumeration.
- Enumerators will be recruited in all areas.
- The CCS will take place 2-3 weeks after Census day.
- Consultation will indicate that users require adjusted estimates to at least LAD level and will accept a delay in their publication.

SIZE : 1 = Large
2 = medium
3 - Small

LIKELIHOOD: H = High
M = Medium
L = Low

RISK	LIKELIHOOD (H, M, L)	SIZE (1, 2, 3)	EFFECTS	SECONDARY EFFECTS	RESPONSIBILITY	CONTINGENCY/ ACTION
1. GENERAL MANAGEMENT						
Failure to communicate the concept of a ONC : Internal Census Internal ONS External	M M L	1 2 1	Difficulties in processing { Customer dissatisfaction {		{ ONC Project team: Ian Diamond, Marie Cruddas	Addressed by the consultation paper
Raising expectations too high	M	2	No user contingency plan			
Consultation not adequate.	L	3	Users criticise method	Undermines Census Undermines mid-year population estimates		
Failure to integrate with IS strategy	L	1	Inability to deliver system		Marie Cruddas Lisa Buckner Simon King	Should be able to control this.
Failure of the methodology during Dress Rehearsal.	M	1	Possible unreliable method adopted	Poor results	ONC Project Team	Evaluate/and re assess
The process will involve delays to usual timetable that will not be acceptable for customers of population estimates	M	2	Delay which does not impinge on Revenue Support Grant (RSG) is acceptable	Delay to RSG use diminishes need for Census	Graham Jones Judith Walton Andy Teague Roma Chappell	
Timetable slippage	M	2	Impact on Census Output and hence user confidence and pop. ests (see above)		Marie Cruddas to liaise with Census Processing	
Failure to provide adequate advice to users (as more complicated).	L	3	Undermines user confidence in Census results	Undermines user confidence in P&VS popn estimates	Ian Diamond Marie Cruddas	
Damage to ONS reputation if not successful.	M	2	Undermines user confidence, primarily in Census	Undermines user confidence in other ONS business areas, particularly P&VS	Tim Jones Graham Jones Andy Teague	
2 CONDUCTING THE CCS						

RISK	LIKELIHOOD (H, M, L)	SIZE (1, 2, 3)	EFFECTS	SECONDARY EFFECTS	RESPONSIBILITY	CONTINGENCY/ ACTION
<u>Management</u>						
Failure to recruit/retain appropriate Census staff	L	2	Inability to deliver plan		Graham Jones John Dixie	
<u>Fieldwork</u>						
Interviewers: -						
The Census does not recruit an adequate pool of interviewers from which to select.	M	2	Re-recruit: Adds costs		John Dixie	
Insufficient interval for training	L	2	Poorly conducted CCS	Loss of value	John Dixie	Plan training to avoid these problems
Timing - the CCS interferes with the Census follow-up/ coincides with Bank Holiday	L	3	Quality of survey results reduced because of mobility amongst target population	Additional cost	John Dixie	Plan fieldwork to avoid these problems
Post Code maps not available / not suitable for purpose?	L	2	Loss of accuracy in CCS		John Dixie	
Failure to find sufficient of the people missed in the Census.	H	1	Failure of CCS to meet need		John Dixie	Design CCS to minimise this risk - ONC research designed to reduce likelihood
Affect on outputs if CCS fails	M	1	Reliance on demographic checks and other sources for distribution to users.			
Mis-reporting of information by interviewers (e.g. postcode, date of birth, etc.)	L	2	Difficulty in matching to Census data - too few matches found.	Overestimate population estimates	1) During fieldwork - John Dixie 2) During matching - Lisa Buckner	Research designed to minimise this risk.
3. PROCESSING THE CCS						
<u>Capture:</u>						
Not Integrating with Census processing	M	2	Timetable effects/additional costs		Marie Cruddas liaising with Census processing Rod Massingham /Simon King	
<u>Matching</u>						
Matching methodology inadequate	M	1	CCS does not provide necessary results		Lisa Buckner	Research to minimise this risk

RISK	LIKELIHOOD (H, M, L)	SIZE (1, 2, 3)	EFFECTS	SECONDARY EFFECTS	RESPONSIBILITY	CONTINGENCY/ ACTION
Names - Confidentiality issues if captured	M	2	Risk to Census image		Graham Jones	
Edited/unedited Census data used	L	3	Failure to match adequately		Lisa Buckner	Research to minimise this risk
Software not developed for matching and modelling	L	1	Cannot proceed with making estimates		Marie Cruddas	Plan to avoid
<u>Making population ('pseudo-county' level) estimates</u>						
People and software not available to carry out the estimation	L	1	Planned method not operable		Marie Cruddas liaising with Census Operations	
Estimates differ from admin records	M	3	None : Admin records used as quality checks at aggregate level for specific popn groups.		Lisa Buckner	
4.MAKING DEMOGRAPHIC ESTIMATES						
<u>National Level:</u>						
The demographic estimates are not available on time.	L	2	Delay in finalising figures		Roma Chappell	
The quality of demographic sources is inadequate.	M	3	Some demographic estimates will be possible		Roma Chappell	
Do not (approximately) equal Census +CCS results.	M	1	None if Census+CCS taken as the Gold Standard.		Roma Chappell Ian Diamond Andy Teague Marie Cruddas	Develop a strategy for this eventuality
<u>Sub national Level :</u>						
The demographic estimates are not available on time.	M	3	Possible delay in output		Roma Chappell	Proposals on this topic in Steering Committee Paper ONS(ONC(SC))98/08
The quality of demographic sources is inadequate.	H	3			Roma Chappell	
Do not (approximately) equal Census +CCS results.	H	3			Roma Chappell Ian Diamond Marie Cruddas	

RISK	LIKELIHOOD (H, M, L)	SIZE (1, 2, 3)	EFFECTS	SECONDARY EFFECTS	RESPONSIBILITY	CONTINGENCY/ ACTION
5. MAKING SMALL AREA POP¹¹ ESTIMATES						
Not possible to make estimates to the level required (LA and below).	M	1	Serious - Purpose is to get estimates at required level		Ian Diamond	Research underway to minimise this risk
Resources not available: expertise, software etc	M	1	ditto		Graham Jones	
Estimates not available on time	M	2	Delay reduces value but does not remove it		Marie Cruddas and ONC Project Team	
LA estimates not acceptable to LAs	L	1	Customer confidence lost		Census Division	Consult and inform as much as possible
6. IMPUTING INDIVIDUALS						
Methodology for imputation of individuals not developed.	H	2	Stop project short of full Census tables		Ian Diamond Ray Chambers Marie Cruddas Lisa Buckner	Methods currently being investigated.
Methodology for weighting not developed.	M	3	As above		ditto	ditto
Output does not distinguish collected from imputed data	M	1	Some users will wish to know how much data is "invented".		ditto Census Output	