

REPORT TO: TAYSIDE VALUATION JOINT BOARD – 17 JUNE 2013

REPORT ON: RISK MANAGEMENT/BUSINESS CONTINUITY

REPORT BY: ASSESSOR

REPORT NO: TVJB 12-2013

PURPOSE OF REPORT

1.1 To present to the Board the Assessor's annual report on Risk Management and Business Continuity arrangements.

2 RECOMMENDATIONS

2.1 It is recommended that the Board notes the contents of this report.

3 FINANCIAL IMPLICATIONS

3.1 None.

4 POLICY IMPLICATIONS

4.1 This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty and Equality Impact Assessment. There are no major issues.

5 BACKGROUND

5.1 In April 2007, the Board approved a Risk Management Strategy which provides a framework to structure the approach to identifying, analysing, controlling, monitoring and financing risks which may be associated with all aspects of service delivery.

5.2 At subsequent meetings, the Board has agreed a Risk Register which identifies and evaluates such risks and considers appropriate control measures to mitigate the risks. A Business Continuity Plan has also been approved, and this details the systems and procedures that require to be put in place to restore critical services following partial or total loss of such services.

5.3 As part of the commitment to implementing the principles of good corporate governance, the Assessor advised the Board in January 2009 that he would report annually to the Board on any matters associated with Risk Management and Business Continuity.

5.4 The Assessor's internal Governance Group, whose remit includes Risk Management and Business Continuity, continues to meet on a regular basis under the chairmanship of the Assistant Assessor, Angus Division. Minutes of group meetings are formally recorded and presented at the next appropriate Assessor's Management Team meeting for discussion and action as required.

5.5 The Assessor continues to be represented at meetings of the Scottish Assessors' Association, which include consideration of governance issues relating to Assessors throughout Scotland.

5.6 The IT Development Manager is included in a Forum of Heads of IT Services, representing Angus Council, Dundee City Council, Perth & Kinross Council, Fife Council, NHS Tayside and Tayside Valuation Joint Board, who meet regularly to discuss matters of mutual interest, including Risk Management.

- 5.7 The Risk Register and the Business Continuity Plan are reviewed regularly in accordance with the Risk Management Strategy and were updated in March 2013. These are held by all relevant officers, as detailed in the Business Continuity Plan. Copies are also held in each of the Board's Divisional Offices and off-site by all members of the Assessor's Management Team, the Administration Managers and the IT Development Manager. They are also available on the Board's website.
- 5.8 The Business Continuity Plan is supplemented by a comprehensive IT Disaster Recovery Plan which details operational and technical procedures to be followed in the event of failure of IT systems.
- 5.9 The Board's Internal Auditors conducted an audit of the Board's Risk Management and Business Continuity Planning in May 2012 and all recommendations arising from the audit report have now been implemented.
- 5.10 The Business Continuity Plan was tested in March 2013 and matters arising from that test have been addressed in the revised plan now implemented.
- 5.11 The risks that would have the greatest impact on the service are detailed in the Appendix to this report. The greatest impact would result from loss of premises, IT facilities or resources during periods when statutory deadlines required to be met, particularly for the Electoral Registration Service.
- 5.12 There are robust controls and backup procedures in place to minimise disruption to critical services. If necessary, business could be transferred to any of the Board's divisional offices. Fully configured backup computer facilities for Electoral Registration are maintained in the Dundee office, allowing swift resumption of services in the event of failure in Angus or Perth & Kinross.
- 5.13 All staff have been advised to familiarise themselves with the business continuity arrangements, in particular their individual areas of responsibilities. The documents are available on the Staff Intranet and are incorporated in induction training.
- 5.14 The Assessor will continue to monitor the Board's Risk Management and Business Continuity arrangements and will provide a further report to the Board in 2013.

6 CONSULTATION

- 6.1 The Clerk and Treasurer to the Board have been consulted on this report.

7 BACKGROUND PAPERS

- 7.1 None.

John M Galbraith FRICS
Assessor

17 June 2013

TAYSIDE VALUATION JOINT BOARD



RISK REGISTER

MAIN RISKS

RISK REGISTER - MAIN RISKS

No	RISK DESCRIPTION	LIKELIHOOD	SEVERITY/ IMPACT	PRODUCT (RISK)	CONTROL MEASURES	RESIDUAL RISK	FURTHER ACTION	RESPONSIBILITY	REVIEW	RELATED TO SERVICE PLAN CORE OBJECTIVE
1	Total Loss of Premises Due to: Fire Flood Structural Damage Power Failure Heating Failure Water Supply Failure Vandalism	2	5	10	Refer to the Business Continuity Plan. Ensure inventories are kept up to date. Comprehensive contingency procedures are contained in the Business Continuity Plan and IT Disaster recovery Plan.	10	Identify additional off site storage for core data, and fully fitted IT enabled office space which can be utilised at the point of emergency. Periodic testing of various scenarios and possibility of home working.	Assistant Assessors for local issues & Administration Managers for funding and resources	Annual	All
2	Major failure of internal IT systems	2	5	10	Refer to the Business Continuity Plan. Ensure inventories are kept up to date. Comprehensive contingency procedures are contained in the Business Continuity Plan and IT Disaster recovery Plan.	4		IT Development Manager	Annual and when systems are changed	All
3	IT Failure of third party system providers, e.g. Electoral Registration Service Providers	2	4	8	Contractual arrangements and system maintenance agreements are in place and are reviewed annually. In-house IT Manager and staff provide immediate assistance.	4	Maintain awareness of alternative providers of these services.	Assessor & IT Development Manager	Annual	3.1
4	Attempted breach of security e.g. hacking, viruses	4	4	16	Firewall and Anti Virus software in place. Computer access logs re scrutinized daily. Systems are password protected. Staff guidelines are in place.	3	Periodic testing. Consideration of external providers of security software.	IT Development Manager	Annual	All
5	IT Failure of back-up procedures	2	4	8	Databases are backed up in each divisional office. The back-up tapes are circulated between offices and stored in fireproof safes. The data can be reloaded onto servers in each divisional office.	2	Identify off site back up facilities.	IT Development Manager	Annual and when systems are changed	All

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6	Failure of Electoral Registration IT systems	3	5	15	<p>A detailed IT Disaster Recovery Plan is in place.</p> <p>In-house IT Manager and staff provide immediate assistance.</p> <p>Robust backup procedures are in place. The data can be reloaded onto servers in each divisional office, including Dundee, where fully configured backup facilities are available.</p> <p>Spare hardware located in divisional offices and also in secure storage.</p> <p>Contractual arrangements and system maintenance agreements are in place.</p> <p>Telephones and local area networked workstations will be available in the Operational Base.</p> <p>Use ISDN2 line and Virtual Private Network to access ER server should line between ERO and Returning Officer fail.</p> <p>Firewall and Anti Virus software in place.</p> <p>All systems are password protected and staff guidelines are in place.</p>	15		IT Development Manager	Annual	3.1

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7	<p>Registration forms/postal vote applications unable reach office before the deadlines</p> <p>e.g. due to failure of communication systems and postal services</p>	2	5	10	<p>Refer to Business Continuity Plan and IT Disaster Recovery Plan.</p> <p>Be aware of alternative providers e.g. use of mobile phones, email and alternative courier services. Record staff mobile telephone numbers.</p> <p>Arrangements can be made to facilitate staff travelling to any alternative location.</p> <p>Queries can be dealt with at any of the Boards 3 divisional offices.</p> <p>Frontline staff are provided with a note of frequently asked questions. Complex enquiries are referred to core registration staff.</p> <p>At critical times, announcements can be made in the local press and radio stations to publicise alternative contact details. Information will be placed on the Board's website, if available.</p>	10		Administration Manager	Annual	3.1
8	<p>Non delivery or late delivery and return of Electoral Registration canvass forms</p> <p>e.g. due to failure of printing contractor or delivery service</p>	2	4	8	<p>Current printing contractor appointed on the basis of satisfactory performance in previous years. Specific contract agreed annually following meetings with contractors' representatives.</p> <p>Timetable agreed relative to form design, base form proof, data proofing and final data supply.</p> <p>A list of external providers is maintained in Business Continuity Plan.</p> <p>Use alternative service providers.</p>	8		Administration Manage	Annual	3.1

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9	Loss of key members of staff through resignation, retirement, illness, etc	2	3	6	<p>Succession planning for key activities/knowledge areas.</p> <p>Absence levels are monitored closely which may provide advance warning of a problem.</p> <p>Overtime working would be available to supplement reduced staffing levels.</p> <p>Policies on managing stress and sickness absence management are in place.</p> <p>Media and local Health Board warnings monitored</p> <p>In extreme cases advice or assistance is available from any of the other 13 Scottish Assessors.</p>	4		Assessor	Annual	All
10	Inability to recruit or retain staff	2	3	6	<p>Recruitment strategies to target specific markets.</p> <p>Career grade structure in place to allow for progression.</p> <p>Recruitment and retention policy.</p> <p>Consideration of terms and conditions.</p>	4		Management Team		All

TAYSIDE VALUATION JOINT BOARD



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