Tayside Valuation Joint Board

Risk Register

Date: May 2022

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Implementation and Review

Responsibility for the implementation and annual review of this policy together with the communication of any resultant amendments across the Board and to relevant third parties is assigned to the Information Asset Owner (currently the Assessor).

Revision History

Version	Author	Summary of Changes	Date of approval	Review Frequency	Next Review Date
1.0	R Michalski	1 Revision of scoring levels to match ER. 2 Incorporation of ER Risk Register as Section 6.	16/05/14	Annually	15/05/15
1.1	R Michalski	1 Revision to reflect provision of IT Network monitoring service. 2 Updating of ER Section to reflect provision of forms on internet.	14/05/15	Annually	14/05/16
1.2	R Michalski	1.3 Update to show the arrangements now in place for Disabled people visiting office. 3.4 Revision of back up services. 3.5 Revision of back up services. 3.6 Revision of back up services. 4.3 Replacement text regarding the leavers survey questionnaires. 4.4 Deletion of further action required. 6.2.1 Replacement wording to highlight Disaster Recovery Plan.	03/05/16	Annually	14/05/17

Revision History (contd)

Version	Author	Summary of Changes	Date of approval	Review Frequency	Next Review Date
1.3	R Michalski	3.2 Impact amended. 4.4 Deletion of Depute Assessor. 5.2 Deletion of Depute Assessor. 6.4.2 Review of procedures for receipt of Registration Forms/Postal Vote applications not being received before deadline. 6.7.6 Additional Item - Canvassers Tablets lost or stolen.		10/5/17	10/05/18
1.4	A Kirkwood & R Michalski	1.3 Updated to reflect proposed re-location 5.1 Additional item - Barclay Review 7.0 Additional item - Office Re-Location		May 2018	Following Completion of Relocation
1.5	R Michalski	1.3 Updated to reflect proposed re-location 6.3.1 Update to reflect relocation 7 Update to reflect relocation 8 Additional Item - Brexit		July 2018	March 2019
1.6	D Allan	1.3 Deleted to reflect office move 5.2 6.4.1 6.6.2 6.7.6 7 Update to reflect office move		March 2019	March 2020
1.7	A Kirkwood	3.1 Updated to reflect potential risk to telecom & IT links 5.2 6.4.1		May 2019	March 2020
1.8	D Allan	Minor corrections of text 4.3 Change leavers' survey to leaver's interview 4.5 Removal of reference to particular circumstances 6.2.1 Reference to East Division made 6.7.1 Alter effect of pandemic and actions 7. Delete issues related to office relocation 8. Renumbered to No. 7. as above 8.1 renumbered to 7.1 and score reviewed and text altered to reflect current circumstances		April 2020	March 2021

1.9	A Kirkwood	8. Separate section added to reflect Covid-19 Issue recorded on Issues Register		August 2020	March 2021
1.10	D Allan	6.7 Amend agency staff to temporary staff 8.2 Revise scoring. Insert statement on Homeworking policy 8.3 Insert Risk relative to closure of office to enable deep clean 3 days after outbreak		March 2021	March 2022
1.11	A Kirkwood	1.3 added to reflect lease arrangements at Robertson House, Perth 3.2 & 3.3 Risk of computer virus / malware increased, requirement to install intruder detection & intruder prevention systems noted.		May 2021	Sep 2021
1.12	D Allan	1.2 Refer to capability of homeworking 1.3 Removed 3.4 Remove reference to disk/tape drive 3.10 Failure of Internet Links added 4.2 Reference made to impact of homeworking 4.3 Reference made to impact of proposed hybrid working 4.4 Regular review of workforce plan added 5.2 Other Sources of Information added 6.1.2 Reference made to new ER Performance Standards 6.1.3 Removal of Cabinet Office funding as an example and note of additional cost of Voter Cards made 6.3.1 Deletion of reference to Vodafone and ISDN links 6.3.2 Loss of Internet connection risk added 6.4.2/6.4.3 Reference made to capability to download postal vote applications from website 6.7.2 Reference made to regular review of workforce plan 6.7.5 Lone worker protection devices provided to canvassers added 7.2 Reference made to liaison with Scottish Government over disposal dates and other legislative requirements 8.1 Risk factor reduced 8.2 Risk factor reduced and reference made to homeworking		March 2022	March 2023

		8.3 Removed 8.5 Risk factor reduced Issuer Register revised to include statement on Government advice dated 22 February 2022			
1.13	R Christie	3.2 & 3.3 Updated to reflect installation of intruder detection and prevention systems. 6.4.1 Updated to reflect current position with telephone system. 8.4 Updated to reflect current and proposed legislative changes in relation to covid-19 appeals		May 2022	March 2023

Defining the level of impact and likelihood of risk

The risk register identifies the various activities carried out by Tayside Valuation Joint Board and assesses the likelihood and impact of any risks which may be encountered. The resultant risk rating permits identification of priorities in dealing with potential risks.

Inherent risk evaluation

How **likely** is it that the risk going to happen?
    1 Unlikely – Likelihood of occurrence is relatively slim – less than10% chance of occurrence
    2 Possible – Quite possible that the risk could occur, especially if control measures are inadequate - 10% to 50% chance of occurrence
    3 Probable – More likely to happen than not – more than 50% chance of occurrence

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

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

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

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

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.

How to use this register

This risk register contains the risks and associated mitigating actions that have been identified in relation to activities of Tayside Valuation Joint Board. If additional risks are identified these should be reported to the report author and the management team so that the register can be updated and appropriate mitigating actions considered. This document also contains an issues register to log any issues that arise and subsequent action taken.

As a requirement to meet Electoral Registration performance standard 9 – planning for rolling registration and the annual canvass, the documents plans must contain identification of risks and subsequent mitigating actions.

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
1	**PREMISES**												
1.1	Total loss of premises	Due to: Fire Flood, Structural Damage	Unable to fulfill statutory duties. Loss of records.	1	3	3	The Board has a detailed Business Continuity and Disaster Recovery Plan. Ensure inventories are kept up to date.	3	1		Assessor	Annual	All
		Loss of Tenure	Unable to fulfill statutory duties.	1	3	3	Ensure compliance with lease terms.	3	1		Assessor		All
1.2	Total loss of access to/use of building	Due to: Fire Flood Structural Damage Vandalism/Civil Unrest Power Failure Heating Failure Water Supply Failure	Unable to fulfill statutory duties. Loss of records.	1	3	3	The Board has a detailed Business Continuity and Disaster Recovery Plan. Ensure inventories are kept up to date.	3	1	Periodic testing of various scenarios and capability of home working.	Assistant Assessors for local issues. Assessor & Administration Managers for funding and resources	Annual	All

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
2	**FINANCE**												
2.1	Failure to receive required funding	Insufficient budget allocated.	Depletion of funds required to ensure that full statutory duties are carried out.	1	3	3	A structured budgetary process should ensure adequate funding and provides adequate control. Close contact with Board Treasurer and constituent Authorities Finances Directors.	3	1	Monitor draft legislation for likely budgetary consequences. Take appropriate action when additional duties are identified.	Assessor	Ongoing	All
2.2	Unexpected Expenditure leading to cash flow problems	Unplanned purchases or invoices.	Depletion of funds required to ensure that full statutory duties are carried out.	1	1	1	Budget expenditure is regularly monitored. Quarterly reports provided to Board. Immediate contact with Treasurer and Board. The Board maintains an adequate level of reserves to ensure that any risk is minimal.	3	1		Administration Manager (Finance/ Personnel)	Ongoing	All
2.3	Unauthorised Expenditure	Items or services purchased without following correct procedure.	Depletion of funds required to ensure that full statutory duties are carried out.	1	1	1	Ensure adherence to authorised limits as set out in Purchasing/Procurement document. Monitoring of invoices and receipts. Full tender procedures and financial regulations are in place.	3	1	Monitor tender procedures, purchasing procedures and financial regulations for updating as required.	Administration Manager (Finance/ Personnel)	Ongoing	All
2.4	Fraud	Staff expenses claims.	Depletion of funds required to ensure that full statutory duties are carried out.	1	1	1	Validation and authorisation procedures are in place. Fraud guidelines are also in place.	3	1	Periodic audit of procedures.	Administration Manager (Finance/ Personnel)	Ongoing	8.1

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
2.5	Inadequate Insurance	Failure to review cover.	Unable to replace lost or damaged items leading to depletion of funds required to ensure that full statutory duties are carried out.	1	2	2	Annual review of requirements ensures adequate provision is made. Service Level Agreement with Dundee City Council with Insurance Section provides necessary advice. Procedures and practices are in place and provided to staff to minimise error and claims of negligence.	3	1		Assessor for Service Level Agreement & Administration Manager (Finance/ Personnel) to ensure that adequate cover is in place	Ongoing	8.1

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
3	**IT**												
3.1	Failure of third party system providers e.g. Electoral Registration Service Providers or IT / Telecom Providers	Bankruptcy or could no longer provide service.	Other provider of similar service would be required.	2	3	6	Contractual arrangements and system maintenance agreements are in place. In-house IT Manager and staff provide immediate assistance.	2	3	Liaise with alternative providers of these services. Retain as much control as possible in-house. Maintain effective back up provisions – e.g. mobile phones, 4G routers	Assessor & IT Development Manager	Ongoing	3.4
3.2	Malicious damage to systems	Office break-in. Hacking, viruses.	Equipment may be required to be replaced.	3	3	9	Back-up procedures are in place. Spare hardware located in divisional offices. Refer to IT Business Continuity Plan. Intruder detection and intruder prevention systems. Weekly back-ups taken and stored out with the Network..	3	3	Review frequency of back ups. Arrange for additional back ups to be stored on cloud	IT Development Manager	Ongoing	All
3.3	Attempted breach of security	Hacking, viruses.	Systems could cease to operate.	3	3	9	Back-up procedures are in place. Third Party Network company provides network monitoring service. Firewall and Anti Virus software provisions are in place. Systems are password protected. Staff guidelines are in place. Intruder detection and intruder prevention systems in place.	3	3	Periodic testing. Weekly back-ups taken and stored out with the Network. Regular review of data protection requirements.	IT Development Manager / Assessor & Assistant Assessors	Ongoing	All
3.4	Failure of back-up procedures	Faulty disk/ media/ communication lines.	Work carried out on the failed date could be lost if systems malfunction.	1	3	3	Databases are backed up in each divisional office. Please see IT Policy PRC04 Back-up plan.	3	1	Weekly back-ups taken and stored out with the Network.	IT Development Manager	Ongoing	All
3.5	Failure of internal applications	Poor coding or Network failure.	Information could not be stored on systems.	1	3	3	Databases are backed up in each divisional office. Please see IT Policy PRC04 Back-up plan.	3	1		IT Development Manager	Ongoing	All

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
3.6	Major internal system failure	Network failure.	Nothing can be processed.	1	3	3	Fail over to another office is in place. Please see IT Policy PRC04 Back-up plan.	3	1		IT Development Manager	Ongoing	All
3.7	Theft of equipment	Office break-in.	Replacement equipment/ furniture.	2	2	4	Inventories of all IT equipment are maintained. A full Asset Register of all the Board's equipment and furniture is maintained. Each division has separate arrangements for office security including intruder alarms.	3	1		IT Development Manager for IT equipment & Assistant Assessors for all other equipment	Ongoing	All
3.8	Inappropriate use of Internet/Email by staff	Staff do not adhere to guidelines set out for Email/Internet use.	Potentially brings Board into disrepute or renders it liable for legal sanctions.	2	2	4	Guidelines on e-mail and Internet use are in place. All staff must confirm that they have read these guidelines. All internet and e-mail traffic is recorded and may be monitored.	3	1		Management Team to ensure that guidelines are followed & IT Development Manager to identify inappropriate use	Ongoing	8.1
3.9	Failure of hardware	Old/faulty equipment.	System down until faulty hardware fixed or replaced.	2	2	4	Maintenance contacts are in place. Hardware is replaced/ upgraded as part of a planned programme.	3	1	Check that priority is given to key equipment.	IT Development Manager	Ongoing	All
3.10	Failure of internet links	Internet supplier suffers outage.	Loss of external data communications including with returning offices and IER Digital Service	2	3	6	Back up internet links have recently been provided to each office.	2	3	Effective testing of back up lines and network failover provisions to be tested - including he capacity of the back up lines	IT Development Manager	Ongoing	All

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4	**STAFFING**												
4.1	Industrial Action	Poor labour relations or pay claims.	Insufficient number of staff to carry out full statutory duties.	1	1	1	Timing of industrial action is usually known in advance, giving time for ensuring coverage of the key activities of those likely to take part.	3	1		Assessor to have overview & Assistant Assessors for local issues	Ongoing	All
4.2	Loss of key members of staff through resignation, retirement, illness	Possibility of disproportionate number of key staff nearing retirement age.	As above.	1	2	2	Succession planning for key activities/knowledge areas. Policies on managing stress and sickness absence management are in place. In extreme cases advice or assistance is available from any of the other 13 Scottish Assessors. Provide written instructions for key activities. Hybrid working may encourage staff to work longer. Skills audit of staff to ensure knowledge of key activities exists Monitor leaver's interview responses to identify any recurring issues.	3	1	Check age profiles of staff- e.g. a number of staff may reach retirement age within a short timescale.	Assessor to have overview & Administration Managers to monitor age profile	Ongoing	All
4.3	Large scale resignation	Lottery or pools syndicate win.	As above.	1	3	3	Use of notice periods to manage coverage of tasks. Advertise at earliest possible time. Consider secondment from other divisions. Provide written instructions for key activities. Hybrid working may avoid large scale resignation. Skills audit of staff to ensure knowledge of key activities exists	3	1		Assessor	Ongoing	All
4.4	Inability to recruit/retain staff	Unattractive employment terms.	Insufficient number of staff to	2	3	6	Recruitment strategies. Career structure/progression.	2	3	Careful monitoring of vacancy levels and	Assessor / Management Team	Ongoing	All

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
			carry out full statutory duties.				Favourable terms and conditions. Skills audit of staff to ensure knowledge of key activities exists Regularly review workforce plan. Monitor leaver's interview responses to identify any recurring issues.			applications for advertised vacancies.			
4.5	Failure to address equality issues	Lack of equality, knowledge or training.	As above.	1	2	2	Policies/Guidelines are in place.	3	1	Continue to monitor and implement relevant legislation.	Assessor / Management Team	Ongoing	8.2
4.6	Failure to address Health & Safety issues	Insufficient Health & Safety knowledge.	Contravention of Health & Safety legislation.	1	2	2	Policies/Guidelines are in place covering Health & Safety and Safe Working Arrangements. Health & Safety advice obtained from lead authority.	3	1	Continue to monitor and implement relevant legislation.	Health & Safety Working Group Chairman	Ongoing	8.1

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
5	**SERVICE**												
5.1	**Legislative Changes Affecting**: Council Tax	Uncertainty as to legislative intent of future government eg current approach to Council Tax.	Inability to plan with certainty.	2	2	4	Maintain contacts with Scottish Government, Electoral Commission, AEA and SAA. Adequate lead-in times usually apply. Personnel advice obtained through Service Level Agreement with Dundee City Council.	3	1		Assessor / Management Team	Ongoing	9.3
	Non-Domestic Rates	Additional duties comprising increased service delivery and 3 yearly revaluations introduced following the Barclay Report.	Inability to adequately undertake revaluations & resolve appeals within statutory time limits – potential loss of NDR income.	2	3	6	Review processes and procedures in-house to improve efficiency of service delivery.	2	3	Liaise with Scottish Government & COSLA regarding increased funding requirements. Liaise with colleague Assessors regarding shared provision.	Assessor / Management Team	Ongoing	1.1
	Personnel	Changing legislation in relation to staff employment.	Increased requirement for HR.	2	2	4	Maintain contacts with Dundee City Council. Adequate lead-in times usually apply. Personnel advice obtained through Service Level Agreement with Dundee City Council.	3	1		Assessor / Management Team	Ongoing	8.1
	Board Policies	Changing legislation in relation to governance or other issues.	Increased requirement for HR or other support.	1	2	2	Maintain contacts with Dundee City Council. Adequate lead-in times usually apply. Personnel advice obtained through Service Level Agreement with Dundee City Council.	3	1		Assessor / Management Team	Ongoing	8.1
	General Data Protection Legislation (GDPR)	Introduction of GDPR Regulations and Data Protection Act 2018	Increased resources to comply with statutory requirements –	3	3	9	Robust review of all processes & procedures. DPO appointed within DCC. Advice sought	3	3	Systematic review of all data sharing agreements & provision of new	Assessor / Management Team	Ongoing	6.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
			substantial fines for non-compliance				through SAA & liaison with the ICO.			agreements where necessary.			
5.2	**Failure of Information Provision: Council Tax**: Buildings Warrants	Inadequate information provided by Local Authority or government department regarding new, sold and altered dwellings.	Inability to adequately maintain accurate Council Tax List.	1	2	2	Monitor receipt as noted in Procedural documents. Maintain contacts and formal agreements with information providers. Create Data Sharing Agreements with Data Provider.	3	1		Principal Valuers	Ongoing	3.3
	Planning Permissions	As above.	As above.	1	1	1	As above.	3	1		Principal Valuers	Ongoing	3.3
	Land Register	As above.	As above.	1	2	2	As above.	3	1		Assistant Assessors	Ongoing	3.3
	Revenues	As above.	As above.	1	2	2	As above.	3	1		Administrative Assistant (Finance/ Personnel)	Ongoing	3.3
	Other sources of information	As above	As above	1	2	2	As Above	3	1		Principal Valuers	Ongoing	3.3
	Failure of Information Provision: Non Domestic Rating: Buildings Warrants	Inadequate information provided by Local Authority or government department regarding non domestic property.	Inability to adequately maintain accurate Valuation Roll.	1	1	1	Monitor receipt as noted in Procedural documents. Maintain contacts and formal agreements with information providers. Create Data Sharing Agreements with Data Provider.	3	1		Principal Valuers	Ongoing	3.2

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	Planning Permissions	As above.	As above.	1	2	2	As above.	3	1		Principal Valuers	Ongoing	3.2
	Land Register	As above.	As above.	1	3	3	As above.	3	1		Assistant Assessors	Ongoing	3.2
	Stakeholders e.g. Lands Valuation Returns, Rent Returns	As above.	As above.	2	1	2	Systems are in place to monitor issue and receipt. Reminders are issued as appropriate.	3	1		Assistant Assessors to have an overview & Administrative Assistants to monitor	Ongoing	3.2
	Other sources of information	As above	As above	1	2	2	As Above	3	1		Principal Valuers	Ongoing	3.3
	Electoral Registration (See Section 6)												
	Failure of Support Service Provision: Cleaning	Interruption to supply of any services.	Disruption of normal service provision.	1	1	1	Monitor Provision. Maintain agreements/ contracts with suppliers. Be aware of alternative providers e.g. use of mobile phones, alter-native courier services, e-mail. Refer to Business Continuity Plan.	3	1		Assistant Assessors for local issues & Administration Manager (Finance/ Personnel) for funding and resources	Ongoing	All
	Telephone	As above.	As above.	2	3	6	As above.	2	3	Liaise with alternative providers of these services. Retain as much control as possible in-house. Maintain effective back up provisions – e.g. mobile phones, 4G routers	As above	Ongoing	All
	Electricity	As above.	As above.	1	2	2	As above.	3	1		As above	Ongoing	All

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
	Heating	As above.	As above.	1	2	2	As above.	3	1		As above.	Ongoing	All
	IT	As above.	As above.	2	3	6	As above.	2	3	Maintain awareness of alternative providers of these services. Retain as much control as possible in-house. Maintain effective back up provisions – e.g. mobile phones, 4G routers	Assistant Assessor (East Division) for overview & IT Development Manager	Ongoing	All
	Postal Service	As above.	As above.	1	2	2	As above.	3	1		Administration Managers	Ongoing	All
	Legal Services	As above.	As above.	1	2	2	As above.	3	1		Assessor	Ongoing	All
	Personnel	As above.	As above.	1	2	2	As above.	3	1		Administration Manager (Finance/ Personnel)	Ongoing	All
	Payroll	As above.	As above.	1	2	2	As above.	3	1		Administration Manager (Finance/ Personnel)	Ongoing	All
5.3	**Partnership/ Stakeholders** Council Finance Department	Communication breakdown.	Disruption of normal service provision.	1	2	2	Maintain contact details. Monitor statutory service provision. Participate in/arrange regular meetings with each body as appropriate.	3	1		Assistant Assessors	Ongoing	3.2, 3.3
	Dundee City Council Support Services	As above.	As above.	1	2	2	As above.	3	1		Administration Manager (Electoral Registration/ Clerical)	Ongoing	All
	Angus and Perth & Kinross	As above.	As above.	1	2	2	As above.	3	1		Administration Manager (Electoral	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
	Returning Officers										Registration/ Clerical)		
	Scottish Assessors' Association	As above.	As above.	1	1	1	As above.	3	1		Assessor	Ongoing	All
	Valuation Office Agency	As above.	As above.	1	1	1	As above.	3	1		Assessor	Ongoing	3.2
	Electoral Commission	As above.	As above.	1	2	2	As above.	3	1		Administration Manager (Electoral Registration/ Clerical)	Ongoing	3.4
	Scottish Government	As above.	As above.	1	1	1	As above.	3	1		Assessor	Ongoing	All

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
6	**ELECTORAL REGISTRATION**												
6.1	**PLANNING AND ORGANISATION (ELECTORAL REGISTRATION)**												
6.1.1	Failure to ensure proper plans are in place	No comprehensive written project plan. Poor planning assumptions. Lessons from previous electoral registration activities are not incorporated into planning.	Necessary actions not completed or completed late. Missed deadlines. Potential breach of legislation.	1	3	3	Project plans are maintained, reviewed and updated regularly to ensure that all necessary activities are planned and sufficient resources are available when required. Electoral Mangement Team meets regularly to consider all requirements and activities, including plans and objectives; evaluation of past activity; performance standards; and training needs. Strategies and timetables are in place for meeting all duties and for delivering an accurate and comprehensive register. The impact of new legislation on existing plans and procedures is considered as required and is communicated to all relevant staff. Ongoing liaison with Returning Officer staff; suppliers of electoral registration software; and suppliers of printing services. Liaison with other EROs through SAA ER Committee.	3	1		Administration Manager	Ongoing review of activities	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							Liaison with Cabinet Office and Electoral Commission.						
6.1.2	Electoral Commission require additional information for Performance Standards	Electoral Commission review their timescales for monitoring Performance Standards.	Diversion from other duties to comply with requests.	2	1	2	Maintain robust recording procedures for all electoral procedures.	3	1	New Performance Standards have recently been introduced by the Electoral Commission. The Administration Manager is part of an SAA working group identifying how these will be measured / monitored.	Administration Manager	Ongoing	3.4
6.1.3	Insufficient resources	Insufficient budget allocated. Unexpected expenditure.	Unable to meet statutory responsibilities	2	3	6	Projected costs to meet all activities are identified early in the planning process Robust budgetary processes ensure adequate funding. Close contact with Board Treasurer and constituent Authorities. Budget approved by the Board annually takes account of all planned activities. Consideration is given to changes or potential in costs e.g. postage costs. Costs arising from additional duties, may be recovered from other sources, e.g. Cabinet Office, Voter Cards.	3	2		Administration Manager	Ongoing	3.4
6.2	LOSS OF PREMISES (ELECTORAL REGISTRATION)												

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
6.2.1	Loss of Electoral Registration office	Office affected by fire, flood, loss of power, etc.	Unable to process applications and data. Loss of data.	1	3	3	The Board has a detailed Business Continuity Plan, IT Disaster Recovery Plan and associated Risk Registers, which take account of potential loss of buildings. The Business Continuity Plan and IT Disaster Recovery Plan are tested and reviewed regularly. Please see IT Policy DR01 IT Disaster Recovery Plan.	3	1		Assistant Assessor (East Division) in conjunction with the IT Development Manager	Ongoing review	3.4
6.3	**FAILURE OF IT PROVISION (ELECTORAL REGISTRATION)**												
6.3.1	Loss of IT capability	System, network or hardware failure	Unable to process forms by the required deadlines Need to carry out processes manually.	1	3	3	A detailed IT Disaster Recovery Plan is in place. In-house IT Manager and staff provide immediate assistance. Robust backup procedures are in place. The data can be reloaded onto servers in each divisional office, where fully configured backup facilities are available. Spare hardware located in divisional offices and also in secure storage. Contractual arrangements and system maintenance agreements are in place. Telephones and local area networked workstations	3	1		IT Development Manager	Arrange-ments reviewed annually	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							will be available in the Operational Base. All systems are password protected and staff guidelines are in place.						
6.3.2	Loss of Internet Communicati ons	Internet supplier suffers outage	Loss of external data communications including with returning offices and IER Digital Service	2	3	6	Back up internet links have recently been provided to each office.	2	3	Effective testing of back up lines and network failover provisions to be tested - including links to returning officers and digital service.	IT Development Manager	Ongoing	3.4
6.4	**COMMUNICATION (ELECTORAL REGISTRATION)**												
6.4.1	Registration applications and enquiries unable to reach electoral staff	Telecom/Fax/ IT failure Large volume of calls during the canvass period or in the lead up to an election	Lack of information Voters unable to register or to vote by chosen method (i.e. postal or proxy) Wrong advice given	3	3	9	Refer to Business Continuity Plan and IT Disaster Recovery Plan. Maintain work plan specifying roles and responsibilities. Maintain agreements and contracts with suppliers. Be aware of alternative providers e.g. use of mobile phones, email and alternative courier services. Record staff mobile telephone numbers. Arrangements can be made to facilitate staff travelling to any alternative location. Reciprocal agreements in place with Election Team at Angus Council and	3	3	Liaise with alternative providers of these services. Retain as much control as possible in-house. Maintain effective back up provisions – e.g. mobile phones, 4G routers	Administration Manager in conjunction with the IT Development Manager	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							Perth & Kinross Council to use each other's facilities. Queries can be dealt with at any of the Boards divisional offices. Frontline staff are provided with a note of frequently asked questions. Complex enquiries are referred to core registration staff. 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.						
6.4.2	Registration forms/postal vote applications do not reach office before the deadlines	Telecom/fax/IT failure Wrong advice given Lack of information Government Digital System (GDS) fails	Voter confusion Voters unable to register or to vote by chosen method (i.e. postal or proxy) Delay in processing applications	2	3	6	Refer to revised directions from UK Government/Scottish Parliament/Electoral Management Board. Public awareness strategy to make provision for communication of key information, including deadlines. Registration forms can be downloaded from www.gov.uk/register-to-vote or from aboutmyvote.co.uk. Postal vote application forms can be	3	2		Administration Manager	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							downloaded/requested from the Board's website. Forms can be delivered, emailed or faxed to an alternative office for onward transmission. The Board's alternative office can be used to update records. Notices can be posted on TVJB website to advise public of changes to the telephone, fax and email services. Notify local media outlets of any changes to contact details and deadlines.						
6.4.3	Electoral registration process is not accessible to all	Information is provided in one format with no account taken of the needs of different audiences	Voters unable to register or to vote by chosen method (i.e. postal or proxy)	1	3	3	Information is available on the TVJB website and forms can be downloaded from aboutmyvote.co.uk. Postal vote application forms can be downloaded/requested from the Board's website Forms are available in large print. TVJB mainstreaming equalities report and equalities outcomes published in accordance with specific duties of the Equality Act 2010. Staff training and advice provided in equalities duties.	3	1		Administration Manager	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							Strategy to advise young voters of registration procedures during annual canvass. Contacts made with minority groups and disabled/visually impaired/mentally impaired electors as per Publicity Campaign plan.						
6.5	**FAILURE ON THE PART OF CONTRACTORS (ELECTORAL REGISTRATION)**												
6.5.1	Non/late delivery and return of Household Enquiry forms and Invitations to Register	Missed printing deadlines or non-completion Printing errors Postal strike Software supplier ceases to trade	Households do not receive annual canvass form and do not register	2	3	6	IER letters are printed and issued by Critiqom Ltd. IER forms designed by Electoral Commission and ERO to add contact information. An ESCROW agreement is in place and is renewed annually. A list of external providers is maintained in Business Continuity Plan. External providers Business Continuity Plan are verified at the point contracts are awarded. Use alternative service providers. Use another service provider if Royal Mail is unable to deliver forms. Each Divisional office has a folding and enveloping	2	3		Administration Manager	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							machine to facilitate bulk issue of documents.						
6.6	**INTEGRITY ISSUES (ELECTORAL REGISTRATION)**												
6.6.1	False information is given on form	Electoral malpractice

Mistake by applicant | Integrity of register/ election is called into question

ERO's ability called into question (reputation risk) | 2 | 3 | 6 | Maintain and update the Board's Integrity Plan and Risk Register.

Validation and Authorisation Fraud procedures are in place. Fraud guidelines are also in place as part of the Integrity Plan.

Members of staff with responsibility for processing forms and checking data are briefed to look out for irregular registration patterns and are made aware of advice from the Electoral Commission.

Staff made aware of trigger points for referrals to Police Single Point of Contact (SPOC).

Police SPOC contact details kept up to date.

Annual meeting with Police SPOC, Electoral Registration Officer and Returning Officers.

Arrangements in place to support 100% postal vote identifier verification – all scanned and data provided to Returning | 3 | 2 | | Administration Manager | Ongoing | 3.4 |

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							Officers, as required for election deadlines.						
6.6.2	Unauthorised access to electoral register/ application forms and data	Lack of security	Breach of confidentiality	2	3	6	All forms are scanned and then held in secure storage for time required by law with CCTV coverage.

Guidance notes on Use of Register are available for TVJB staff.

All buildings are locked and have security pass code entrance systems.

Computer server rooms are kept locked and have security pass code locks.

Firewall and Anti Virus software in place.

All systems are password protected and staff guidelines are in place.

All registration forms which contain dates of birth and National Insurance numbers are to be destroyed within 13 months and have the data held on EROS redacted. | 3 | 2 | | Administration Manager in conjunction with Administrative Assistants | Ongoing | 3.4 |
| 6.6.3 | Taking of electronic notes or other means of unauthorised copying of electoral register | Lack of supervision | Unauthorised access to data | 2 | 1 | 2 | Guidance notes on Use of Register are available for TVJB staff.

Staff to be made aware again of data protection and consequences of misuse of information | 3 | 1 | | Administration Manager in conjunction with Administrative Assistants | Ongoing | 3.4 |

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							Staff to personally monitor visitors to ensure no unauthorised copying of register. Visitor log book to be completed and all visitors to be provided with a visitor's badge. Advice also given to other recipients of the register regarding statutory provisions on access and use.						
6.7	**STAFFING (ELECTORAL REGISTRATION)**												
6.7.1	Loss of staff	Sickness	Insufficient number of staff to cover processes	2	3	6	The Business Continuity Plan contains detailed contingency plans and instructions for all key activities. Monitor annual leave requests and allow for sufficient cover at peak periods. Staff can be transferred from divisional offices to carry out work at any of the other offices. Advice and assistance can be provided from experienced staff in other Electoral Registration offices in Scotland. Temporary canvassers' contracts may be extended.	2	3		ERO & Administration Manager	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							Minor, short-term or intermittent disruption can be absorbed by utilising existing resources and overtime working. If a major or long term disruption, reallocation of work to other staff or employ temporary staff. Media and local Health Board / Government warnings monitored.						
6.7.2	Unable to appoint sufficient staff	Insufficient/non-provision of resources Difficulty in recruiting suitable staff	Insufficient staff to cover processes	2	3	6	Robust staff structure already in place to cover the Board's operational duties. Vacancies are filled at the earliest possible time. Review workforce plan regularly.	2	3		Management Team	Ongoing	3.4
6.7.3	Insufficient support staff appointed	No detailed assessment of staffing requirements	Inability/difficulty in meeting deadlines Mistakes by overworked staff	1	3	3	Map out staffing requirements at an early stage in the project planning process. Monitor progress of the canvass by checking reports. Review staff comments and make plans for further training, if necessary. Administrative Assistants monitor the work of their staff.	3	1		Administration Manager	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							Consider need to appoint temporary support staff to assist the core team at different points of the process.						
6.7.4	Mistakes by inexperienced staff or by staff not fully aware of legislation/ procedure	Inadequate/lack of training	Errors processing registration forms and/or absent vote applications. Failure to register electors	1	3	3	Guidance notes and training are provided for all staff to ensure they are provided with the necessary information to be able to undertake their duties. Create work plan to include roles and responsibilities. Use training and support materials to ensure clarity and understanding of these (refer to ER system/clerical manual). Ensure timetables for rolling registration and annual canvass are distributed to staff. Ensure roles are clear in Job Descriptions. New legislation and/or software training is provided for staff, either by external trainers or Admin Assistants. Training and support materials available for new staff members.	3	1		Administration Manager	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							Admin Assistants monitor quality of work of staff. Ensure a robust quality checking process before publication of register.						
6.7.5	A threat to canvasser safety	Canvassers encounter problems with elector dissatisfaction or aggressive behaviour whilst trying to call at a property	Staff feel threatened and are unable to carry out their role	2	3	6	Canvassers Guidance & Training plan produced which includes a safe working policy; how to deal with difficult circumstances. Lone worker protection devices provided to canvassers. Risk assessments to be undertaken when allocating canvassers areas.	3	2		Administration Manager	Ongoing	3.4
6.7.6	Canvasser Tablet lost or stolen	Tablet lost or stolen	Staff unable to carry out visit as effectively. Criminal matter.	1	2	3	Canvasser to notify Administration Manager or Administration Officer immediately. Halarose to be notified to remotely wipe data held on tablet. Notify Police Scotland. Notify ICO Ask Idox Elections to track tablets whereabouts.	3	2		Administration Manager	Ongoing	
6.8	**COMPLETENESS AND ACCURACY OF RECORDS (ELECTORAL REGISTRATION)**												
6.8.1	Low response to annual canvass	Households do not return canvass form	Incomplete and/or inaccurate register	2	2	4	Robust Annual Canvass publicity plan has been produced.	2	2	Consider additional publicity measures if poor response to canvass.	Administration Manager in conjunction with	Ongoing	3.4

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
		Persons within a property do not answer the door Properties not accessible to canvassers					Electoral Registration Legislation provides for canvass follow up procedures for non responding households in both Angus and Perth & Kinross. Use statutory review process for electors to improve accuracy of register. Admin Assistants to run daily report for non - responders & check returned mail. Admin Assistants to liaise with care homes and houses in multiple occupation to have residents complete canvass forms. Staff to monitor when they have received their own canvass forms in case of late delivery. Canvassers to record on forms date/time attempted to call. Use existing staff to complete canvass visits should a canvasser fail to complete allocated workload. Follow-up by telephone and email, where appropriate.			Consider existing work allocation; postage costs; timing to determine impact of conducting reviews. Administrative Assistants to monitor progress of canvassers' work.	Administrative Assistants		

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
7	**UK WITHDRAWAL FROM THE EUROPEAN UNION (BREXIT)**												
7.1	Key staff resigning.	European citizens leaving UK as a result of Brexit	Loss of key staff impacting on service delivery	3	2	6	Monitor situation to determine potential impact.	3	2	Key staff to share knowledge	Assessor & Personnel Manager	Ongoing	All
7.2	Additional NDR appeals lodged following Brexit	Possibility of significant numbers of Material Change of Circumstances Appeals as a consequence of Brexit	Additional workload for staff and potential for loss of value	1	2	2	Monitor situation to determine whether additional staff required.	3	1	Continue to liaise with Scottish Government over disposal dates and other legislative requirements	Assessor & Assistant Assessors	Ongoing	All

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
8	**VIRAL PANDEMIC**												
8.1	Widespread or epidemic/ pandemic illness	Viral infection widely spread throughout society	Health and safety of employees, potentially serious illness or even death.	3	2	6	Close offices as required. Enable remote access for staff to work from home as required. Make sure staff are aware of relevant health advice issued by Government and Health services. Maintain regular contact with staff to ensure both their physical and mental wellbeing are monitored. Ensure detailed risk assessment is undertaken and appropriate safety measures are put in place before staff return to office based working. Homeworking arrangements are in place	3	2	Monitor all government advice and update procedures to enable staff to safely return to office based working when appropriate.	Assessor / Management Team	Ongoing	All
8.2	Spread of viral infection among staff.	Viral infection by cross contamination. Poor hygiene.	Insufficient staff to carry out full statutory duties or country-wide lockdown resulting in no access to office premises	3	2	6	Maintain regular contact with staff. Monitor absence levels closely which may provide advance warning of a problem. Overtime working would be available to supplement reduced staffing levels. Take heed of local Health Board / Government advice. Ensure proactive measures are in place e.g. provision of anti-bacterial hand gel/social distancing measures. Provide written instructions for key	3	2	Draft Hybrid working policy so that flexibility is retained at present and into the future. Limit numbers of staff attending office when essential work is required	Assessor / Management Team	Ongoing	All

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Completion/ Review Date	Related to Service Plan Core Objective
							activities. Homeworking arrangements are in place						
8.4	Non-Domestic Rates - significant volume of additional appeals lodged	Economic impact of business closures arising from the pandemic results in a substantial number of Material Change of Circumstance appeals being lodged.	Inability to adequately undertake revaluations & resolve appeals within statutory time limits – potential loss of NDR income.	3	3	9	Maintain contact with Scottish Government to ensure relevant legislation and statutory disposal timetable adequately reflects workloads.	3	3	Further liaison with Scottish Government regarding resources and statutory requirements.	Assessor / Management Team	Ongoing	1.1
8.5	Electoral Registration - Inability to undertake door to door canvass	Health and safety concerns prohibit door to door canvassing.	Door to door canvassing is not undertaken / impact on accuracy & completeness of electoral registers	2	2	4	Ensure postal canvass completed through remote working as required.	2	2	Consider arrangements for undertaking telephone canvassing.	Assessor / Management Team	Ongoing	3.1
8.6	Communications with clients by telephone / email / post are restricted.	Closure of offices results in lack of access to issue / receive letters & emails or to respond to telephone enquiries.	Reduction in service provision adversely affects delivery of core services relating to non-domestic rating, council tax and electoral registration.	3	2	6	Arrange for incoming mail to be scanned and made available electronically by a postal services provider. Make provision for letters / forms etc. to be issued remotely through an external mail provider. Arrange for telephone system to be configured to advise clients of current situation and encourage clients to either email or leave voicemails where appropriate. Arrange for remote access by staff to all scanned, emails and telephone system for recorded messages.	2	3	Further review outgoing / incoming mail provisions to streamline procedures. Further review telephone system to increase available functionality.	Assessor / Management Team	Ongoing	All

Issues Register

This issues register can be used to record any issues arising. The log should cover the nature of the issue, its source, the date it was raised and its potential impact. It should also include the proposed action to deal with the issue, as well as assigning clear ownership to the issue and establishing the date of its anticipated resolution.

An issue which has occurred is usually the result of an earlier risk which has now become reality, so it is vital to ensure that both the issues register and risk register are live documents and that they are reviewed and updated in conjunction.

Issue (already occurred)	Issue source (Where/Who raised)	Date issue arose	Potential impact (1-3)	Action	Issue owner	Target date for resolution (completion date in brackets)	Status – Open/ Closed
Viral Pandemic	Government Update – Living Safely with Covid	22 February 2022	2	Offices remain closed but with staff in attendance on irregular or rota basis as appropriate. This is monitored to ensure safety is maintained. Electoral staff attend daily from 14 March 2022 to deal with matters in relation to the Local Government Elections on 5 May 2022. Health & Safety arrangements are in place. Employers are advised to consider Hybrid working arrangements with employees.	Assessor / Management Team	To be determined	Open