REPORT TO:     TAYSIDE VALUATION JOINT BOARD – 19 JUNE 2023

REPORT ON:     RISK MANAGEMENT/BUSINESS CONTINUITY

REPORT BY:     ASSESSOR

REPORT NO:     TVJB 9-2023

## 1     PURPOSE OF REPORT

1.1     To present to the Joint Board the Assessor's Annual Report on Risk Management and Business Continuity arrangements.

## 2     RECOMMENDATIONS

2.1     The Joint Board is asked to note 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     The Joint Board has 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     Within the overall Risk Management Strategy the Joint Board has a Risk Register which identifies and evaluates such risks and considers appropriate control measures to mitigate these risks. A Business Continuity and an IT Disaster Recovery Plan are also maintained and these detail 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     The Risk Register, Business Continuity Plan and IT Disaster Recovery Plan have been created separately so that each may be reviewed and updated in isolation. The Risk Register and Business Continuity Plans are reviewed and published annually and are monitored by the Management Group throughout the year. The IT Disaster Recovery Plan is similarly reviewed and updated annually and monitored by Management, however, this document is not published in order to maintain confidentiality.

5.4     As part of the commitment to implementing the principles of good corporate governance, the Assessor reports annually to the Joint Board on any matters associated with Risk Management and Business Continuity.

## 6     RISK MANAGEMENT AND BUSINESS CONTINUITY ARRANGEMENTS

6.1     The Assessor's internal Governance Working Group, whose remit includes Risk Management and Business Continuity, continues to meet on a regular basis under the chairmanship of the Assistant Assessor, East Division. Minutes of group

meetings are formally recorded and presented at the next appropriate Management Team meeting for discussion and action as required.

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

6.3     The Joint Board's overall Risk Management Strategy, Risk Register, Business Continuity Plan and IT Disaster Recovery Plan are reviewed periodically by Internal Audit, the last such review took place in January 2019.

6.4     The Joint Board's Risk Register is monitored on an ongoing basis by the Governance Working Group. The Risk Register is also a standing agenda item at Management Team meetings and any emerging issues are discussed as appropriate. In addition, the Risk Register is reviewed and updated annually. The most recent review was undertaken in February 2023 and the updated Register is attached as Appendix 1. The Risk Register will be made publically available on the Joint Board's website.

6.5     The Joint Board's Business Continuity Plan is also monitored on an ongoing basis by the Governance Working Group and any issues are reported at Management Team meetings. The most recent review took place in May 2023 and the updated Plan is attached as Appendix 2. The Business Continuity Plan is held by all relevant officers as detailed in the Plan. Copies of the plan are also held in each of the Joint Board's Divisional Offices and off-site by all members of the Assessor's Management Team, the Administration Managers and the IT Manager. It is also available on the Joint Board's website. All staff have been advised to familiarise themselves with the Plan, in particular their individual areas of responsibilities.

6.6     The Joint Board's IT Disaster Recovery Plan is also monitored by the Governance Working Group and is reviewed annually. The IT Disaster Recovery Plan is held by all IT staff members and is available to Headquarters staff.

6.7     The Assessor will continue to monitor the Joint Board's Risk Management and Business Continuity arrangements and will provide a further report to the Joint Board in 2024.

7       **CONSULTATION**

7.1     The Clerk and Treasurer to the Joint Board have been consulted on this report.

8       **BACKGROUND PAPERS**

8.1     None.


**ROY CHRISTIE**
**Assessor**                                    **June 2023**

# Tayside Valuation Joint Board

# Risk Register

Date:                    February 2023

Author:                Donald Allan

## 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.<br>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.<br>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.<br>3.4  Revision of back up services.<br>3.5  Revision of back up services.<br>3.6  Revision of back up services.<br>4.3  Replacement text regarding the leavers survey questionnaires.<br>4.4  Deletion of further action required.<br>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.<br>4.4  Deletion of Depute Assessor.<br>5.2  Deletion of Depute Assessor.<br>6.4.2  Review of procedures for receipt of Registration Forms/Postal Vote applications not being received before deadline.<br>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<br>5.1  Additional item - Barclay Review<br>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<br>6.3.1  Update to reflect relocation<br>7  Update to reflect relocation<br>8  Additional Item - Brexit | | July 2018 | March 2019 |
| 1.6 | D Allan | 1.3  Deleted to reflect office move<br>5.2<br>6.4.1<br>6.6.2<br>6.7.6<br>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<br>5.2<br>6.4.1 | | May 2019 | March 2020 |
| 1.8 | D Allan | Minor corrections of text<br>4.3 Change leavers' survey to leaver's interview<br>4.5 Removal of reference to particular circumstances<br>6.2.1 Reference to East Division made<br>6.7.1 Alter effect of pandemic and actions<br>7. Delete issues related to office relocation<br>8. Renumbered to No. 7. as above<br>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<br>8.2 Revise scoring. Insert statement on Homeworking policy<br>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<br>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<br>1.3 Removed<br>3.4 Remove reference to disk/tape drive<br>3.10 Failure of Internet Links added<br>4.2 Reference made to impact of homeworking<br>4.3 Reference made to impact of proposed hybrid working<br>4.4 Regular review of workforce plan added<br>5.2 Other Sources of Information added<br>6.1.2 Reference made to new ER Performance Standards<br>6.1.3 Removal of Cabinet Office funding as an example and note of additional cost of Voter Cards made<br>6.3.1 Deletion of reference to Vodafone and ISDN links<br>6.3.2 Loss of Internet connection risk added<br>6.4.2/6.4.3 Reference made to capability to download postal vote applications from website<br>6.7.2 Reference made to regular review of workforce plan<br>6.7.5 Lone worker protection devices provided to canvassers added<br>7.2 Reference made to liaison with Scottish Government over disposal dates and other legislative requirements<br>8.1 Risk factor reduced<br>8.2 Risk factor reduced and reference made to homeworking | | March 2022 | March 2023 |

| | | 8.3 Removed<br>8.5 Risk factor reduced<br>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.<br>6.4.1 Updated to reflect current position with telephone system.<br>8.4 Updated to reflect current and proposed legislative changes in relation to covid-19 appeals | | May 2022 | March 2023 |
| 1.14 | D Allan | 1.2 amended, 1.3 added, 6.4.1, 6.4.2 and 6.5.1 amended | | February 2023 | March 2024 |

# 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 | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **1** | **PREMISES** | | | | | | | | | | | | |
| 1.3 | Power Outage | There is the possibility of planned temporary power cuts in January and February 2023 for periods of three hours at any time of day, dependent on severity of fuel shortages, which may impact on service delivery. Mitigation measures are in place for all such occasions | Unable to fulfill statutory duties | 1 | 3 | 3 | If power outage in Forfar or Perth where servers are located, UPS will be triggered and servers will function for a short time to allow safe shutdown. Staff will not be able to provide a service during the period of the temporary power cut. Where staff are in the office, pc's, lights, heating and equipment will not operate. Consideration should be given to closing the office whilst providing signs indicating that staff may be contacted by email which will be answered when systems are again operational.<br><br>Staff working remotely and with advance notice of the outage may make arrangements to attend the office in those circumstances where the office is unaffected.<br><br>If advance warning is given of power cuts staff should ensure they back up and save work prior to the power cut. | 2 | 2 | Review of arrangements, as required. | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **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 |

| 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **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 |

| 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 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.<br><br>Unexpected expenditure. | Unable to meet statutory responsibilities | 2 | 3 | 6 | Projected costs to meet all activities are identified early in the planning process<br><br>Robust budgetary processes ensure adequate funding.<br><br>Close contact with Board Treasurer and constituent Authorities.<br><br>Budget approved by the Board annually takes account of all planned activities.<br><br>Consideration is given to changes or potential in costs e.g. postage costs.<br><br>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.<br><br>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.<br><br>The Business Continuity Plan and IT Disaster Recovery Plan are tested and reviewed regularly.<br><br>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<br><br>Need to carry out processes manually. | 1 | 3 | 3 | A detailed IT Disaster Recovery Plan is in place.<br><br>In-house IT Manager and staff provide immediate assistance.<br><br>Robust backup procedures are in place. The data can be reloaded onto servers in each divisional office, where fully configured backup facilities are available.<br><br>Spare hardware located in divisional offices and also in secure storage.<br><br>Contractual arrangements and system maintenance agreements are in place.<br><br>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.<br><br>All systems are password protected and staff guidelines are in place. | | | | | | |
| 6.3.2 | Loss of Internet Communications | 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<br><br>Failure of the ERO Portal<br><br>Large volume of calls during the canvass period or in the lead up to an election | Lack of information<br><br>Voters unable to register or to vote by chosen method (i.e. postal or proxy)<br><br>Wrong advice given | 3 | 3 | 9 | Refer to Business Continuity Plan, IT Disaster Recovery Plan and ER Risk Register<br><br>Maintain work plan specifying roles and responsibilities.<br><br>Maintain agreements and contracts with suppliers.<br><br>Be aware of alternative providers e.g. use of mobile phones, email and alternative courier services. Record staff mobile telephone numbers.<br><br>Arrangements can be made to facilitate staff travelling to any alternative location.<br><br>Reciprocal agreements in place with Election Team | 3 | 3 | Liaise with alternative providers of these services.<br>Retain as much control as possible in-house.<br>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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | at Angus Council and Perth & Kinross Council to use each other's facilities.<br><br>Queries can be dealt with at any of the Boards divisional offices.<br><br>Frontline staff are provided with a note of frequently asked questions.  Complex enquiries are referred to core registration staff.<br><br>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<br><br>Wrong advice given<br><br>Lack of information<br><br>Government Digital System (GDS) fails,<br><br>ERO Portal failure | Voter confusion<br><br>Voters unable to register or to vote by chosen method (i.e. postal or proxy)<br><br>Delay in processing applications<br><br>Electors unable to provide ID at polling station at a UK Parliament election | 2 | 3 | 6 | Refer to revised directions from UK Government/Scottish Parliament/Electoral Management Board; ER Risk register<br><br>Public awareness strategy to make provision for communication of key information, including deadlines.<br><br>Registration forms can be downloaded from www.gov.uk/register-to-vote or from aboutmyvote.co.uk. | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | Postal vote application forms can be downloaded/requested from the Board's website. Forms can be delivered, emailed or faxed to an alternative office for onward transmission. | | | | | | |
| | | | | | | | Offer anyone who has an outstanding VAC awaiting delivery the option of an Emergency Proxy (if applicable from 5pm, 6 working days from UK Parliament at election) | | | | | | |
| | | | | | | | 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. | 3 | 1 | | Administration Manager | Ongoing | 3.4 |
| | | | | | | | TVJB mainstreaming equalities report and | | | | | | |

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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | equalities outcomes published in accordance with specific duties of the Equality Act 2010. Staff training and advice provided in equalities duties. 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.  Voter Authority Certificate is printed and supplied by the Government Digital Service. Temporary VAC can be printed if required, or requested by the ERO.  An ESCROW agreement is in place and is renewed annually.  A list of external providers is maintained in Business Continuity Plan. | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | 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 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 | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | 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 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. | 3 | 2 | | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | 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. | | | | | | |
| 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.<br><br>Staff to be made aware again of data protection and consequences of misuse of information<br><br>Staff to personally monitor visitors to ensure no unauthorised copying of register.<br><br>Visitor log book to be completed and all visitors to be provided with a visitor's badge.<br><br>Advice also given to other recipients of the register regarding statutory provisions on access and use. | 3 | 1 | | Administration Manager in conjunction with Administrative Assistants | Ongoing | 3.4 |
| **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.<br><br>Monitor annual leave requests and allow for sufficient cover at peak periods. | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | 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. | | | | | | |
| | | | | | | | 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 |

| 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 6.7.3 | Insufficient support staff appointed | No detailed assessment of staffing requirements | Inability/difficulty in meeting deadlines<br><br>Mistakes by overworked staff | 1 | 3 | 3 | Map out staffing requirements at an early stage in the project planning process.<br><br>Monitor progress of the canvass by checking reports.<br><br>Review staff comments and make plans for further training, if necessary.<br><br>Administrative Assistants monitor the work of their staff.<br><br>Consider need to appoint temporary support staff to assist the core team at different points of the process. | 3 | 1 | | Administration Manager | Ongoing | 3.4 |
| 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.<br><br>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.<br><br>Create work plan to include roles and responsibilities.<br><br>Use training and support materials to ensure clarity and understanding of these (refer to ER system/clerical manual).<br><br>Ensure timetables for rolling registration and | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | 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. 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. | 3 | 2 | | Administration Manager | Ongoing | |

| 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | Idox to be notified to remotely wipe data held on tablet.<br><br>Notify Police Scotland.<br><br>Notify ICO<br><br>Ask Idox Elections to track tablets whereabouts. | | | | | | |
| 6.8 | **COMPLETENESS AND ACCURACY OF RECORDS (ELECTORAL REGISTRATION)** | | | | | | | | | | | | |
| 6.8.1 | Low response to annual canvass | Households do not return canvass form<br><br>Persons within a property do not answer the door<br><br>Properties not accessible to canvassers | Incomplete and/or inaccurate register | 2 | 2 | 4 | Robust Annual Canvass publicity plan has been produced.<br><br>Electoral Registration Legislation provides for canvass follow up procedures for non responding households in both Angus and Perth & Kinross.<br><br>Use statutory review process for electors to improve accuracy of register.<br><br>Admin Assistants to run daily report for non - responders & check returned mail.<br><br>Admin Assistants to liaise with care homes and houses in multiple occupation to have residents complete canvass forms. | 2 | 2 | Consider additional publicity measures if poor response to canvass.<br><br>Consider existing work allocation; postage costs; timing to determine impact of conducting reviews. | 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 monitor when they have received their own canvass forms in case of late delivery.<br><br>Canvassers to record on tablet date/time attempted to call.<br><br>Use existing staff to complete canvass visits should a canvasser fail to complete allocated workload.<br><br>Follow-up by telephone and email, where appropriate. | | | Administrative Assistants to monitor progress of canvassers' work. | | | |

| 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 |
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| 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.<br><br>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 |
| | | | | | | | |
| | | | | | | | |

*TAYSIDE VALUATION JOINT BOARD*

# BUSINESS CONTINUITY PLAN

# BUSINESS CONTINUITY PLAN

# TAYSIDE VALUATION JOINT BOARD

| Head of Department | **ROY CHRISTIE MRICS DipSurv, AEA (Cert-Scotland)** Assessor & Electoral Registration Officer | (Signature) |
|---|---|---|
| Business Continuity Plan Author | **DONALD ALLAN** Assistant Assessor & ERO, East Division | (Signature) |
| Incident Management Team Leader | **ROY CHRISTIE MRICS DipSurv, AEA (Cert-Scotland)** Assessor & Electoral Registration Officer | |
| **OTHER KEY PERSONNEL** | | |
| Alternative Incident Management Team Leader | First Available Assistant Assessor | |
| Governance Working Group Chairman | **DONALD ALLAN** Assistant Assessor & Electoral Registration Officer, East Division | |
| Health & Safety Working Group Chairman | **DONALD GROVES** Principal Valuer, East Division | |
| IT Development Manager | **WAYNE EASSON** | |
| Administration Manager (Finance/Personnel) | **STEPHEN CHRISTIE** | |
| Administration Manager (Electoral Registration/ Clerical) | **PETER GALL** | |
| Document Version | 1.19 | |
| Date of Last Review | May 2023 | |
| Date Last Tested | March 2022 | |
| Next Revision Date | March 2024 | |

YOU MUST BE FULLY CONVERSANT WITH THE CONTENT OF THIS PLAN

# DOCUMENT CONTROL

# Record of Amendments

The following changes have been made to this document.

| Version No | Date | Details and reasons for amendment | Record completed by |
|---|---|---|---|
| 1.2 | 22/04/10 | Page 9 – Inclusion of definition of risk appetite and explanation of risk assessment scores<br>Appendix 3 – Inclusion of other Assessors contact details<br>Appendix 4 – Addition of IT Disaster Recovery Plan | H Gray |
| 1.3 | 19/08/11 | Review of plan consequent to change in management structure<br>Inclusion of staff mobile telephone numbers<br>Appendix 4 – Review of IT Disaster Recovery Plan | D Allan |
| 1.4 | 06/02/12 | Appendix 2 – 2.4 Inclusion of Emergency keyholders<br>Review of plan consequent to final change in management structure | D Allan |
| 1.5 | 01/05/13 | Business Continuity Plan Reviewed<br>Risk Register (Appendix 1) made separate document | R Michalski |
| 1.6 | 01/07/13 | Update of personnel details | D Allan |
| 1.7 | 22/04/14 | Update of personnel details<br>Page 8 – Amendment to Service Plan date.<br>Page 9 – Amendment of Impact Scale<br>Page 12 – Emergency Services.<br>Page 18 – Disaster Recovery Area<br>Page 20 –IT Disaster Recovery Plan<br>Page 30 – New Landlord - Whitehall House | D Allan<br>R Michalski |
| 1.8 | 03/04/15 | Update of personnel details<br>Page 16 – Grammatical correction<br>Page 21 – Staff numbers<br>Page 28 – Update P&K Returning Officer<br>Page 29 – Update of Third Party Suppliers | R Michalski |
| 1.9 | 03/05/16 | Update of personnel details<br>Page 3 – Disaster Recovery Test added<br>Page 18 – 8.1.1 & 8.1.2 – Amendment to wording<br>Page 19 – 8.1.5 – Amendment to wording | R Michalski |
| 1.10 | 10/05/17 | Update of personnel details<br>Page 3 – Disaster Recovery Test<br>Pages 5, 6, 8, 11, 13, 21, 22 & 23 – Removal of Depute Assessor<br>Page 12 – Amalgamation of Item 2.3 Depute Assessor with Item 2.4 Assistant Assessors<br>Page 18 – Removal of the Board's store at West Pitkerro, Dundee<br>Page 28 – New Convener<br>Page 29 – Update of Service Provider for Printing of Poll Cards | R Michalski |

| | | | |
|---|---|---|---|
| 1.11 | 05/06/18 | Update of personnel details<br>Pages – 6, 9, 11, 14, 16, 19 - Change of address details to William Wallace House (Dundee Division only)<br>Page 19 – Amendment to disaster recovery arrangements for Electoral Registration to accommodate new location. | R Michalski |
| 1.12 | 15/08/18 | Pages 9, 13, 14, 15, 16, 19, 20, 22, 23, 24, 30, 33 – Various amendments to reflect Dundee & Angus Divisions relocation to William Wallace House. | R Michalski |
| 1.13 | 14/03/19 | Pages 2, 3, 6, 12, 14, 22, 24, 25, 26, 27, 28 – Amendment to reflect vacant Assistant Assessor post and staff changes. | D Allan |
| 1.14 | 30/04/20 | Page 2 amendment to reflect changes in responsibilities; pages 2, 5, 19 change to reflect naming of divisions; page 10 government lockdown and contagion noted; pages 11, 12 to reflect changes in structure. Pages 16, 19 reference made to use of social media in public awareness; page 17 emphasis made on electronic communications; Page 24 update disaster recovery tests | D Allan |
| 1.15 | 19/11/20 | Page 23 Update Disaster Recovery Test Schedule | D Allan |
| | 27/01/21 | Page 10-11 at 1.4 to account for events not included in the Risk Register<br>Page 11 Addition of 1.6 Remote Working Arrangements<br>Page13 at 3. To account for operational meetings where access to premises is not possible<br>Page 14 at 3.3 reference to scanning vital records and remote working arrangements<br>Page 16 at 7.2 reference to remote working arrangements to enable continuation of delivery of services<br>Page 16 at 7.3 reference to "soft" phones<br>Page 20 at 8.1.5 reference to remote working arrangements obviating need for alternative premises | D Allan |
| 1.16 | 27/01/2022 | Re-organisation of text at 8.1.1, 8.1.2 and 8.1.3. Emphasis on remote and homeworking changed | D Allan |
| 1.17 | 01/06/2022 | Pages 2, 24, 25, 26, 28 – Amendment to reflect staff changes | R Christie |
| 1.18 | 01/02/2023 | 1.6 Removal of "Emergency" in respect of home working arrangements; removal of "with a move to" in respect of electronic storage<br>3.3 reference to "hybrid" working arrangements made<br>Appendix 2.1.1 Revision of Staff numbers | D Allan |
| 1.19 | 26/05/2023 | Appendix 2.2.5 Revision of Staff table | R Christie |

**Recipients**

This document is critical to the effective recovery of Tayside Valuation Joint Board's business operations.  A copy of the plan should be held offsite and readily accessible **at all times**.  A copy should be held by the Incident Management Team Leader, alternate and other Team members as appropriate.

Recipients should ensure that they are fully conversant with the content of the plan.

# DISTRIBUTION LIST

Assessor & Electoral Registration Officer – William Wallace House
Assessor & Electoral Registration Officer - Home
Assistant Assessor & ERO (East Division) – Home
Assistant Assessor & ERO (West Division) - Home
Administration Manager (Finance/Personnel) – Home
Administration Manager (Electoral Registration/Clerical) - Home
IT Development Manager - Home
Principal Valuers - Home
TVJB Intranet

Clerk to Tayside Valuation Joint Board
Chief Executive, Dundee City Council
Chief Executive, Angus Council
Chief Executive, Perth & Kinross Council
Emergency Planning Officer, Dundee Emergency Planning Unit

# CONTENTS

## 1. INTRODUCTION

The purpose of this Plan is to document Tayside Valuation Joint Board's Business Continuity Procedures to ensure that business operations may be restored as quickly as possible following a major disruption to normal day to day service. It is imperative that all members of staff are familiar with the contents of the plan and understand their individual responsibilities in the event of a major disruption to service.

The main services provided by Tayside Valuation Joint Board are detailed in the 2022-2025 Service Plan. It is essential that the most critical services provided by the department are reinstated as quickly as possible.

The statutory duties allotted to the Assessor for Tayside Valuation Joint Board are the maintenance of the Non-Domestic Valuation Roll and the maintenance of the Council Tax Valuation List for the valuation areas of Angus, Dundee City and Perth & Kinross Councils.

In addition, both Angus and Perth & Kinross Councils have appointed the Assessor as Electoral Registration Officer for their respective Council areas.

These services are also provided directly to the public and it is vital that these be maintained during any disruption to business operations

The plan considers restoration of services following the partial or total loss of critical services, concentrating on:

- premises
- services (electricity, water, heating)
- personnel
- computer systems

While the procedures set out arrangements for the restoration of essential information and communications systems within the shortest time period, a degree of uncertainty will always prevail.

Any proposed amendment to the Business Continuity Plan should be notified to the Chair of the Governance Working Group. Any changes made to the Plan will be documented (on the Record of Amendments sheet).

Copies of the Business Continuity Plan are held in the Board's offices at William Wallace House, Forfar and Robertson House, Perth. It is also held off-site by the Assessor, Assistant Assessors, Principal Valuers, Administration Managers and IT Development Manager. An abbreviated version identifying key personnel whom Administration Officers may need to contact will also be provided to Administration Officers for retention off-site.

### 1.1 Aims & Objectives

The aim of this plan is to provide a framework of coordinated measures to ensure that critical services are maintained and systems restored within an acceptable timescale.

To meet this aim, the objectives are:-

♦ To develop internal arrangements and contingency measures for dealing with the loss of critical functions/assets.
♦ To provide procedures for obtaining assistance from other agencies as and when considered necessary.
♦ To deliver essential services to our stakeholders.

In addressing the requirement for a Business Continuity Plan, the following procedures have been adopted as a working model for dealing with disaster or other significant incident affecting the delivery of service.

(a) Assess – potential threats have been identified.
(b) Evaluate – the likelihood and impact of each threat has been assessed, and a risk rating allocated.
(c) Prepare – a plan has been put in place for contingent operations, including an estimate of the maximum tolerable downtime for each business process.
(d) Mitigate – actions that may eliminate risks in advance have been identified.
(e) Respond – be prepared to take action necessary to minimise the impact of risks that materialise.
(f) Recover – the objective of the Plan is to return to normal as soon as possible.

Risk appetite is defined as the amount of risk the Board is willing to accept, tolerate or be exposed to at any one time. Risk appetite is normally assessed on a scale ranging from high to zero. The Board's risk appetite has been assessed as moderate in most cases. This means that the Board is willing to accept risks that may affect delivery of core services in the short term which is defined for the purposes of this plan as a period of up to fourteen days.

In certain cases, such as time critical periods associated with electoral registration, the risk appetite has been assessed as zero. This means that the Board is not willing to accept risks that may affect the delivery of a time critical ER service.

The Risk Register contains a comprehensive list of the risks which might affect the organisation, along with the required assessments and responses which have been identified as appropriate in the circumstances.

Each risk has been assessed according to

• the probability of the risk event occurring (likelihood), and
• the potential severity of the consequences should such an event occur (impact).

Both the likelihood and the impact have been assessed on a scale of 1(low) to 3 (high). The risk score is then shown as the product of likelihood x impact.

The residual risk is an assessment of the level of risk that remains after consideration of existing control measures.

The remainder of this document deals with the management process of the Business Continuity Plan which will be invoked to cope with incidents.

## 1.2    Types of Incident

This Plan will be invoked either in its entirety or in part, dependent upon the circumstances of the incident.

The various types of incident for which provision is made include the following (but see the Risk Register for full details):

Premises – related
Loss of part of or an entire building (temporary, long term or permanent) due to fire (accidental or arson), government lockdown due to contagion, contamination, explosion, bomb scare, flooding, storm damage, vandalism, etc.

Services – related
Loss of Utilities
- Loss of heating, due to:
  breakdown of system
  unavailability of heating (electricity/gas supply)
- Loss of electrical power affecting the use of:
  the fire alarm systems, ITC systems, lighting, staff welfare facilities
- Loss of water supply

Loss of data

Failure of Critical Suppliers – e.g. printing services, mail delivery services, IT services

Personnel – related
Loss of personnel due to:
- Illness or contagion affecting significant numbers over a prolonged period
- Accident involving significant numbers, affecting their availability for work, e.g. car accident involving the Management Team
- Prolonged industrial action
- A lottery syndicate winning a significant amount, and failing to report for work or resigning en bloc
- Potential disaster affecting the residents of a particular area in which a significant number of staff reside
- Significant fraudulent activity

## 1.3    Scope of the Plan

The plan covers the Boards activities at William Wallace House, Forfar and Robertson House, Perth.

## 1.4    Activating the Plan

Recognised procedures for activating the plan are a key element of the Plan itself, since one of the deputising problems with contingency response is the practical motivation of those responsible to put it into practice.

The purpose of having such a plan in place is to eliminate uncertainty and/or an ad hoc approach to handling an incident.  Dependent upon the nature of the reason for the plan's activation, prompt and effective action can reduce or eliminate the impact of an incident on service delivery.

Where circumstances permit, the Assessor, the two Assistant Assessors, Principal Valuers and the Administration Managers, as appropriate, will consider the nature of the problem, and if it is required, will invoke the plan. The decision to invoke the plan will always be taken by at least two of the postholders, one of whom will be the Assessor, or the postholder deputising for the Assessor. In the first instance the second postholder should be one of the Assistant Assessors. Where it is not possible for two of those identified to participate in the decision-making process, at least one of the Principal Valuers will be brought into the process, and deemed to have the necessary authority to activate the plan.

When any one or a combination of the circumstances contained in the Risk Register occurs, or any other event which requires activation of the Plan not included in the Risk Register, those personnel identified in the previous paragraph with the appropriate responsibility should:

(a)     Deliberate the circumstances, and
(b)     Determine if the Plan should be invoked.

It is possible that a situation described in the Risk Register above may occur, but due to its lack of severity, or anticipated effect on provision of the Board's services, those responsible decide that it is not necessary to activate the plan.

Where an incident is recognised as sufficiently severe to invoke the plan then those responsible should inform every member of staff and other officials in accordance with the responsibilities set out in 2 below.

## 1.5    Assumptions

For the purposes of this plan, it is assumed that replacement resources, buildings, and infrastructure are available within a foreseeable timescale and that the incident does not affect the whole Tayside area, but is essentially confined to the Board's service provision.

Given that the organisation uses two geographically separate offices the identification and retention of suitable unoccupied accommodation in the vicinity of the Board's offices as emergency accommodation has not been considered to be necessary.

The assumptions do not cover the circumstances where staff do not have access to any of the Board's premises. A review of processes and document storage methods has been undertaken. This has resulted in the majority of documents now being held digitally and secure remote connectivity created to enable all staff to have the capability of working from home.

## 1.6    Remote Working Arrangements

Remote working arrangements are in place and an approach to "blended" working arrangements is under consideration at this time. Whilst access to Board premises is not essential for most services after recent changes in arrangements due to the Coronavirus pandemic, there remains a requirement to access Board premises, when permitted, to obtain essential material which is not scanned and to provide a service to the public.

Continuation of remote working arrangements and a review of processes together with electronic storage of all essential documents will allow quick reaction to any circumstances in future.

## 2. AREAS OF RESPONSIBILITIES

As detailed at 1.4 above, the Assessor, the two Assistant Assessors and Administration Manager, or Managers as appropriate, are responsible for the activation of the plan. They should therefore be in possession of the best background knowledge surrounding the situation and most effective to oversee the process involved.

Accordingly, individual responsibilities will be as follows:

### 2.1 Assessor & Electoral Registration Officer

Postholder (or substitute if appropriate – see 1.4), will be responsible for: Informing the Convener, the Clerk to the Board, the members of the Management Team, Administration Managers and IT Development Manager, the Chief Executives and Heads of Finance/Returning Officers of the 3 constituent councils and Dundee Emergency Planning Officer of the occurrence and of any contingency arrangements put in place and keeping them informed of progress as the situation develops.

### 2.2 Clerk to Board

Upon being informed by the Assessor that the Board's Business Continuity Plan has been invoked, the Clerk should inform the Depute Convener and other members of the Board.

### 2.3 Assistant Assessors

Postholders will be responsible for liaising directly with other members of the Incident Management Team in respect of their divisional offices, and establishing arrangements for the continued provision/recommencement of the service. These arrangements may include allocating specific tasks to their staff and ensuring that all divisional staff are informed of any changes in working arrangements. They should also contact relevant emergency services where time is of the essence.

### 2.4 Principal Valuers

Postholders to act as substitute for the Assistant Assessor in the office in which the postholders are located and will liaise with the Assessor as required.

### 2.5 Administration Managers

Postholder, or postholders, will liaise with the Assessor and the other members of the Management Team and oversee the arrangements for continued provision/ recommencement of the clerical service. These arrangements may include allocating specific tasks to the administrative staff in each division and ensuring that administrative and secretarial staff are informed of any changes in working arrangements. The postholder, or postholders, will also support the Assistant Assessors in the divisional offices to ensure continued provision/ recommencement of the electoral registration service in the divisional offices.

### 2.6 IT Development Manager

Postholder will liaise with the management team and ensure IT systems remain operable and any data recovery requirements are met. This role may require close liaison with external IT suppliers and arrangements may include allocating specific tasks to the IT staff and ensuring that they are informed of any changes in working

arrangements.  In order to facilitate any recovery action server backup procedures are in place and regularly reviewed. Inventories of software and hardware together with a list detailing the location of spare hardware are maintained, and for security purposes are held on separate servers in both of the Divisional offices.

**2.7**   **IT Disaster Recovery Plan**

A dedicated IT Disaster Recovery Plan has been produced.  Arrangements are in place to have Dundee City Council IT staff invoke the plan, if required, and a copy of the IT Disaster Recovery Plan is held by them for this purpose.

**2.8**   **All Other Staff**

All staff not already listed above should remain on standby in the event of a situation or incident which affects their ability to report for work in the normal way.  A line manager will make contact as soon as practicably possible. Regular communication with all staff be line managers should be ensured so that all staff are informed of progressing circumstances and are in a position to return to normal working at short notice.

**2.9**   **Substitution of Personnel**

Where necessary, any of the personnel listed above may be substituted by another member of staff on the authority of the Incident Management Team.  Consideration should be given to the nature of the crisis and the work required as a result in order to decide on the appropriate substitute.

**3.**   **INCIDENT MANAGEMENT STRUCTURE**

Due to the compact nature of the Valuation Joint Board, the required structure can be compressed, with the same group fulfilling various roles.  The expected base of operations will be William Wallace House.  If the incident dictates that the Board's offices are not operational at William Wallace House, the operational base will be the Perth & Kinross Divisional office at Robertson House, Perth.

If no premises are available and staff are working from home, then meetings can be held through software enabling face-to-face meetings, as required. This essentially forms the operational base.

In any incident, the Assessor, one or both of the Administration Managers as appropriate, IT Development Manager and either, or both, of the Assistant Assessors as required will make up the Incident Management Team and will be responsible for emergency, business continuity and disaster recovery management, once the need has been identified as described in 1.4 above.

The main focus of each of these 3 elements will be as follows:-

**3.1**   **Emergency Management**

Involves determination of priorities in allocating resources, the planning and co-ordination of when a task will be undertaken, and the means of obtaining required resources.  The response to an emergency should concentrate on the effects rather than the cause and accordingly, arrangements should be flexible enough to be adapted to a range of incidents.

### 3.2    Business Continuity Management

This involves ensuring that the functions of the Board continue to operate in the event of an emergency.  This may require contact with external providers, e.g. PlanNet21, who supply our inter-office computer links, in order to ensure that they can continue to deliver in the event of an emergency.

In assessing Business Continuity, the Incident Management Team will be required to oversee a "scaling up" of some critical functions, alongside a "scaling down" or suspension of other non-critical functions.

### 3.3    Recovery Management

The main objective of Recovery Management is to control and co-ordinate recovery action.

The Incident Management Team will draft in, as required, other members of staff who are recognised as potential contributors to the recovery process.  See Appendix 2 for contact details.

It will be the responsibility of the Incident Management Team to decide on the importance and level of involvement to be attached to each of these elements, having taken account of the nature and scale of the incident e.g. one business activity disrupted, several business activities disrupted or loss of all business activities.

In the event of a minor disruption to normal business activities, services may be recovered in a few hours using the resources within the department and by a small number of key personnel.

A major disruption to services such as a fire may cause a lengthy delay before normal business activities can be recovered and may involve key other departments and outside suppliers.  In the event of a major disruption an operational base would be established where the Incident Management Team would coordinate the recovery of all services affected by the disruption.

Those services which are considered essential will be established as a matter of urgency, with priority being given to those services within the department who are directly involved in providing a service to members of the public e.g. the electoral registration service.  In extreme circumstances, non-essential services may be suspended until such time as temporary accommodation is secured or vital records are recovered. However, scanning of vital records and implementation of "hybrid" working arrangements will limit those occasions where the provision of any service is severely restricted to the public.

Vital Records are defined as "records essential to the continued functioning or reconstitution of an organisation during or after an emergency".

The Incident Management Team Leader would liaise directly with the Public Relations Unit of the appropriate Council to ensure that members of the public are kept informed of temporary service arrangements.  Suitable telephone messages, website information and email notifications will be put in place to inform the public accordingly.

It is acknowledged that the loss of premises may cause major problems and temporary accommodation may need to be found as quickly as possible.

Where necessary manual procedures will be implemented until such time as IT equipment and records are restored.

## 4.    EXTERNAL ORGANISATIONS

### 4.1    Emergency Services

It should be clear to the Incident Management Team which services are required. (Contact details are listed in Appendix 3)

### 4.2    Utilities

Contact details are listed in Appendix 3.

### 4.3    Contractors

Any contractors whose services might be required in the event of an incident should normally be contacted through the usual channels. Contractors are appointed by Angus Council in Forfar and the managing agents in Perth.

## 5.    MITIGATION

### 5.1    Risk Assessments

Risk assessments for a number of identified scenarios are provided in the Risk Register and will be subject to regular review, along with the Board's Risk Register, by the Management Team.

### 5.2    Mitigation Measures

Details of mitigation measures are provided in the Risk Register.

## 6.    COORDINATION AND CONTROL

Immediate responsibility for dealing with all emergency situations in the general community lies with Police Scotland, and where an incident affects the area in general and not only Board premises/personnel, the Police will assume overall control and have jurisdiction over the operations of the Incident Management Team.

If the incident is confined to Board premises/personnel, the person who will determine whether the plan should be activated will be the Assessor (or substitute) in accordance with the procedure set out in 1.4 above.

Section 2 of the plan sets out the responsibilities for contacting staff and other agencies/bodies in order that a coordinated and controlled response is achieved.

## 7.    INCIDENT RESPONSE

### 7.1    Operational Base

Where possible, the Operational Base will be Assessor's main office at William Wallace House, Orchard Loan, Orchardbank Business Park, Forfar DD8 1WH (Tel 01307 499910).

If it is not possible to make use of William Wallace House the Operational Base will be in the Assessor's West Divisional Office, Robertson House, Whitefriars Crescent, Perth, PH2 0LG (Tel 01738 630303).

If no premises are available staff will work from home. Meetings can be held through software enabling face-to-face meetings, as required. This essentially forms the operational base.

## 7.2 Management & Operations

The Assessor (or his substitute) will be responsible for selecting the appropriate offices for the Operational Base and inform the Incident Management Team and other appropriate personnel when they should attend.

The duration of the Operational Base will depend upon the nature of the incident.

It is judged that normally there will be no immediate requirement to be fully operational in relation to the Board's functions in respect of non-domestic rating and council tax. A target of 14 days to arrange temporary reinstatement of service delivery has been set.

The situation with regard to electoral registration is potentially more time sensitive, since a by election or "snap" general election could be called at any time.

If an incident occurs at a time-sensitive period in the year, such as during an election, or coinciding with a statutory deadline such as the citation or settlement of non-domestic valuation appeals, then the Incident Management Team will determine at the outset the number of affected staff who are required to be active in providing the necessary manpower, and arrange for the workload to be coordinated from the Operational Base.

However remote working arrangements which are in place enable a quicker reinstatement of all services provided by the Assessor and ERO.

## 7.3 Communications

Telephones and local area networked workstations should be available in the Operational Base. Additionally, "soft" phones (i.e. telephone capability via laptop or desktop computers) are enabled on devices used in connection with remote working which allow continuation communication with the public.

Where an immediate work requirement has been identified by the Incident Management Team, and it is necessary to pass instructions/directions to other members of staff, this should be achieved in accordance with the responsibilities set out under 2 above.

## 7.4 Logging & Documentation

The discussions, deliberations and decisions of the Incident Management Team will be minuted in accordance with the procedures for normal Management Team meetings.

## 7.5 Reporting Procedures

In addition to alerting the Dundee Emergency Planning Officer, the Board's stakeholder departments should be informed of the incident by the Assessor in accordance with section 2.1 above within 24 hours of the incident.

The Board's staff will be kept informed of developments by their line managers.

Where it is possible for a notice to be displayed on the affected building for the attention of the public, it should be displayed at the front entrance giving a brief explanation of the problem, an indication of how to make contact with important/urgent queries or requests, and notification if possible of the projected date for resumption of normal service.  Also, if possible, information should be placed on the Board's website.

Where considered appropriate, use social media, such as the Board's website, email responses or Twitter feed providing an explanation of the situation and arrangements for continuing business. An advert may be lodged in the local newspaper(s) and the Incident Management Team may also consider it appropriate to contact local radio stations with information for broadcasting providing similar information.

## 7.6 Closing Arrangements

Once the requirement to operate from the Operational Base has passed and all staff and other bodies that were advised of the incident in accordance with section 2 have been advised of the return to normal operational conditions, the Assessor (or his substitute) will chair a de-briefing meeting and close the Operational Base.

## 8. RECOVERY ACTIONS

## 8.1 Incidents relating to Premises

Where an incident occurs out of hours and emergency access is required to premises, a list of keyholders who may be contacted in such an occurrence is set out in Appendix 2 at 2.4

Otherwise emergency actions are detailed below.

**EMERGENCY ACTIONS**

**The following actions should be undertaken in the event of disaster or other incident which results in the loss of access to premises:-**

| | | |
|---|---|---|
| 1. | If necessary initiate the evacuation of the building using the appropriate evacuation procedures. | |
| 2. | Contact the Emergency Services if appropriate | |
| 3. | Ensure all staff under your control are accounted for (evacuated or not to a place of safety). | |
| 4. | Respond to any staff injuries/fatalities | |
| 5. | Ascertain the immediate nature of the incident and the current status; fire, explosion, water damage, power failure, computer outage | |
| 6. | Immediately contact a member of the Incident Management Team for further guidance and assistance (see Section 3.0) | |
| 7. | Secure buildings once the initial phase of the emergency has passed to avoid the possible threat of theft or vandalism. Take steps to avoid further damage or deterioration of the building. | |

The severity of the incident will determine the likely downtime of the services and whether or not alternative accommodation is to be sought. If the incident occurs at a time sensitive period for one of the three main functions or if the loss of access to the premises is judged to be long term or permanent then suitable premises within the vicinity of the affected building should be sought. As a first step the Property Services Department of the appropriate local Council should be contacted regarding the availability of suitable office space.

Depending on the severity of the incident the building may still be accessible even if not capable of being used. In such circumstances the Incident Management Team should give consideration to the salvaging of vital records and equipment. The appropriate emergency services, utility companies and structural engineers should be consulted regarding access to the building. Salvaged records and equipment should be recorded and transported to alternative accommodation in another of the Board's offices. Staff may be asked to use their own vehicles alternatively, vehicles or a contractor may be hired.

If appropriate the Board's insurers and the landlord of the building should be notified as soon as possible.

### 8.1.1  Electoral Registration function

An incident affecting either the Divisional offices at Robertson House, Perth or William Wallace House, Forfar may affect the delivery of the Electoral Registration service.  If the incident happens at a time critical period such as an election then the Incident Management Team may decide that the service must be restored as quickly as possible even if the anticipated loss of access to the building is only a few days or less.

If required an appropriate working area will be made available within the unaffected office, including the provision of a scanning facility. Provision will also be made available to allow 2 Returning Officer staff members to use this facility although this is only likely to be required in limited circumstances.  Full details can be found in the IT Disaster Recovery Plan.

The Returning Officer for the affected Council area will be contacted in order to establish the required computer links.

Public information should be installed on the Board's website and appropriate email notifications returned to senders. The Board's Twitter feed may also be  employed to provide public information. Where appropriate, advertisements in the local press and radio stations should be taken out to publicise alternative telephone and email addresses for public contact.

Arrangements will be made to facilitate staff travelling to the unaffected office.

Continuation of services will be achieved by the loading of backed up data onto the server in the divisional office which is unaffected. The establishment of remote working practices for staff, the instigation of "hot desk" working practices and/or temporary workstations, will assist in continued delivery of the service. Full details can be found in the IT Disaster Recovery Plan.

Spare PCs and monitors are available in both offices and will be transported to an alternative location if necessary.  The IT Development Manager has authority to purchase such new equipment as may be required.  Full details can be found in the IT Disaster Recovery Plan.

Public information should be installed on the Board's website and appropriate email notifications returned to senders. The Board's Twitter feed can also be employed to provide public information. Where appropriate, advertisements in the local press and radio stations should be taken out to publicise alternative telephone and fax numbers and email addresses for public contact.

As stated at 7.2 above the target time for reinstatement of the service under normal working conditions is 14 days.


### 8.1.2  Non-Domestic Rating function

This function may be affected by an incident in either of the offices.

Service delivery is not regarded as time critical.  As stated at 7.2 above the target time for reinstatement of the service under normal working conditions is 14 days.

See 8.1.1 for description of continuation of the service

The Director of Finance in the affected Council area will be contacted and advised of the expected service downtime.

### 8.1.3 Council Tax function

As for non-domestic rating function above.

### 8.1.4 Administration function

This function may be affected by an incident affecting William Wallace House.

Service delivery may be time critical if related to the payment of invoices or to the administration of the payroll.

If necessary the administration duties will be transferred to the West Divisional office.

### 8.1.5 Personnel

An incident in either of the offices may affect the ability of staff to work in their normal location and consideration should be given as to whether working at an alternative location is needed.

Remote working arrangements are in place but the Incident Management Team will decide which staff members will be asked to work in an alternative location, where necessary. This may be in temporary accommodation or in another of the Board's offices.

Remote working arrangements may obviate the need for identification of a common alternative location from which to conduct business.

## 8.2 Incidents relating to Personnel

The loss of key members or large numbers of staff may affect service delivery in any of the two divisional offices.

If the situation is judged to be short term then the Incident Management Team may address the situation by authorizing overtime for remaining staff or arranging cover by staff from one or both of the other divisional offices.

If it is envisaged that serious staff shortages will continue in the longer term or permanently then, in addition to the above measures, the Incident Management Team will advertise for temporary or permanent staff to fill the vacant posts.

## 8.3 Incidents relating to External Suppliers and Stakeholders

The failure of third party service providers could affect service delivery. In particular disruption of the Electoral Registration service could be time critical if incident occurred at the time of the annual canvass or during an election.

A list of external providers is contained in Appendix 3.

Should any of the service providers fail at a time critical period the company concerned will be contacted in order to determine the severity of the incident and the likely downtime. If the service cannot be restored within an acceptable time then consideration will be given to finding an internal solution or arranging an alternative provider.

An incident may affect the ability of one of the Board's constituent Councils to provide planning and building control information.  This situation is unlikely to be time critical.  Close liaison with the affected Council will determine the need for specific actions.

## 9.    TRAINING & AWARENESS

### 9.1    Training

In order to have an effective Business Continuity Plan which can be implemented smoothly when the need arises, training of the participants is required, along with exercises being held on a regular basis.

### 9.2    Awareness

Staff awareness of the Business Continuity Plan will be promoted by:

- Ensuring that emergency planning arrangements are part of induction training for all relevant staff.
- Publishing the Business Continuity Plan on the TVJB Intranet.
- Informing staff by team briefings and e-mail that the Plan is in place and available on the intranet.
- Convening regular training sessions.

## 10.    IT DISASTER RECOVERY PLAN

### 10.1    Disaster Recovery Plan

An IT Disaster Recovery Plan has been created and held by the Boards' IT staff.  A further copy is held by Dundee City Council IT staff in the event that they are required to invoke the plan.

### 10.2    Testing the Plan

The IT elements of the plan shall be tested at least annually and/or in preparation for each significant electoral event.

## DISASTER RECOVERY TESTS

| Date | Test Performed | Result |
|---|---|---|
| 10/02/16 | Electoral Registration Servers and Data Store remain operational in Forfar/Perth but either or both office(s) become unusable.<br>User based in Dundee Disaster Recovery area to connect to and use Servers & Data Store in Forfar/Perth. | PASS |
| 10/02/16 | Building(s) remain operational in Forfar/Perth but Electoral Registration Servers/Data Store in either or both office(s) fail. Users remain in Forfar/Perth and connect to and use backup Server/Data store in the Dundee office. | PASS |
| 10/02/16 | Both buildings and Servers/Data Store in Forfar/Perth become un-useable.<br>User operating from Disaster Recovery area in the Dundee Office connects to and uses back-up Electoral Registration Server/Data Store in Dundee. | PASS |
| 10/02/17 | Electoral Registration Servers and Data Store remain operational in Forfar/Perth but either or both office(s) become unusable.<br>User based in Dundee Disaster Recovery area to connect to and use Servers & Data Store in Forfar/Perth. | PASS |
| 10/02/17 | Building(s) remain operational in Forfar/Perth but Electoral Registration Servers/Data Store in either or both office(s) fail. Users remain in Forfar/Perth and connect to and use backup Server/Data store in the Dundee office. | PASS |
| 10/02/17 | Both buildings and Servers/Data Store in Forfar/Perth become un-useable.<br>User operating from Disaster Recovery area in the Dundee Office connects to and uses back-up Electoral Registration Server/Data Store in Dundee. | PASS |
| 20/05/18 | Electoral Registration Servers and Data Store remain operational in Forfar/Perth but either office become unusable.<br>Users move to other office to connect to and use Servers & Data Store in Forfar/Perth. | PASS |
| 20/05/18 | Building(s) remain operational in Forfar/Perth but Electoral Registration Servers/Data Store in either or both office(s) fail. Users remain in Forfar/Perth and connect to and use backup Server/Data store in the other office. | PASS |
| 06/02/19 | No access to office in either Forfar or Perth. Server still functional in one office and staff move to that office to use server & data store.<br>*System failover operates but requires IT intervention to be upgraded to automatic failover in due course. | PASS* |
| 06/02/19 | One server down and in a non-recoverable state<br>*System failover operates but requires IT intervention to be upgraded to automatic failover in due course. | PASS* |

| Date | Test Performed | Result |
|---|---|---|
| August 2019 | Complete failure of Buffalo device. Failover to 2<sup>nd</sup> Domain controller. | PASS |
| January 2020 | Server Down and in a non-recoverable state. Triggered the failover setup to move the server from one server to the other. | PASS |
| October 2020 | Actual failure. File server inaccessible in Perth. Failover successful. Staff continue to work using the Angus server | PASS |
| January 2021 | Server Down and in a non-recoverable state. | PASS |
| March 2022 | Failure of Server<br>Inaccessible Building<br>Office Destroyed<br>Failure of server<br>Remote access for staff Office destroyed | PASS<br>PASS<br>PASS<br>PASS<br>PASS |

# Contacts Tayside Valuation Joint Board

**1. EMERGENCY CONTACTS & RESPONSIBILITIES**

**1.1 Total Number of Staff within Area/Department**

| Base | Male | Female | Total |
|------|------|--------|-------|
| William Wallace House, Forfar (East Division) | 11 | 15 | 26 |
| William Wallace House, Forfar (HQ) | 6 | 7 | 13 |
| Robertson House, Perth (West Division) | 12 | 17 | 29 |
| | | | 68 |

**2. INCIDENT MANAGEMENT TEAM**

**2.1. Team Leader**

| Name | Position | Address | Tel: (Work) | Tel: (Home) | Mobile |
|------|----------|---------|-------------|-------------|--------|
| | Assessor & ERO | | 01307 499911 | | |

**2.2 Alternate Incident Management Team Leader**

| Name | Position | Address | Tel: (Work) | Tel: (Home) | Mobile |
|------|----------|---------|-------------|-------------|--------|
| | Assistant Assessor & ERO | | 01307 499955 | | |
| | Assistant Assessor & ERO | | 01738 646803 | | |

### 2.3 Incident Management Team Membership

| Name | Position | Address | Tel: (Work) | Tel: (Home) | Mobile |
|---|---|---|---|---|---|
| | Assessor & ERO | | 01307 499911 | | |
| | Assistant Assessor & ERO, East | | 01307 499955 | | |
| | Assistant Assessor & ERO, West | | 01738 646803 | | |
| | Administration Manager (Finance/Personnel) | | 01307 499914 | | |
| | Administration Manager (ElectoralRegistration/ Clerical) | | 01307 499913 | | |
| | IT Development Manager | | 01307 499939 | | |

### 2.4 Emergency Key Holders

| Name | Position | Address | Tel: (Home) | Mobile |
|---|---|---|---|---|
| **East Division** | | | | |
| Savat Security Services | | Fremar, ARBROATH, DD11 3SE | 01241 860460 | |
| **West Division** | | | | |
| | Assistant Assessor & ERO | | | |
| | Principal Valuer | | | |

## 2.5    Full Staff List

**Division – HEADQUARTERS/IT**

| Name | Position | Address | Tel: (Home) | Mobile |
|---|---|---|---|---|
| | Assessor & ERO | | | |
| | Secretary/Admin Asst | | | |
| | Administration Manager (Finance/Personnel) | | | |
| | Administration Manager (Electoral Registration/ Clerical) | | | |
| | IT Development Manager | | | |
| | IT Administrator | | | |
| | IT Officer (Networking) | | | |
| | IT Assistant (Development) | | | |
| | Divisional Admin Asst | | | |
| | Snr Clerical Assistant | | | |
| | Clerical Asst/Typist | | | |
| | WPO/Clerical Assistant | | | |
| | Clerical Asst/Typist | | | |
| | | | | |

**Division – EAST**

| Name | Position | Address | Tel: (Home) | Mobile |
|------|----------|---------|-------------|--------|
|  | Assistant Assessor & ERO |  |  |  |
|  | Principal Valuer |  |  |  |
|  | Principal Valuer |  |  |  |
|  | Senior Valuer |  |  |  |
|  | Senior Valuer |  |  |  |
|  | Senior Valuer |  |  |  |
|  | Senior Valuer |  |  |  |
|  | Trainee Valuer |  |  |  |
|  | Trainee Valuer |  |  |  |
|  | Trainee Valuer |  |  |  |
|  | Technician |  |  |  |
|  | Technician |  |  |  |
|  | Technician |  |  |  |
|  | Technician |  |  |  |
|  | Trainee Technician |  |  |  |
|  | Trainee Technician |  |  |  |
|  | Divisional Admin Officer |  |  |  |
|  | Senior Clerical Officer |  |  |  |
|  | Senior Clerical Officer |  |  |  |
|  | Clerical Officer |  |  |  |
|  | Clerical Officer |  |  |  |
|  | WPO / Clerical Assistant |  |  |  |
|  | Clerical Officer/ Canvasser |  |  |  |
|  | Clerical Officer / Typist |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**Division – WEST**

| Name | Position | Address | Tel: (Home) | Mobile |
|------|----------|---------|-------------|--------|
|  | Assistant Assessor & ERO |  |  |  |
|  | Principal Valuer |  |  |  |
|  | Principal Valuer |  |  |  |
|  | Senior Valuer |  |  |  |
|  | Senior Valuer |  |  |  |
|  | Senior Valuer |  |  |  |
|  | Valuer |  |  |  |
|  | Valuer |  |  |  |
|  | Assistant Valuer |  |  |  |
|  | Trainee Valuer |  |  |  |
|  | Trainee Valuer |  |  |  |
|  | Trainee Valuer |  |  |  |
|  | Technician |  |  |  |
|  | Technician |  |  |  |
|  | Technician |  |  |  |
|  | Trainee Technician |  |  |  |
|  | Divisional Admin Officer |  |  |  |
|  | Senior Clerical Officer |  |  |  |
|  | Senior Clerical Officer |  |  |  |
|  | Clerical Officer |  |  |  |
|  | Clerical Officer |  |  |  |
|  | Clerical Officer |  |  |  |
|  | Clerical Officer |  |  |  |
|  | WP Operator |  |  |  |
|  | WP Operator |  |  |  |
|  | WP Operator |  |  |  |
|  | Clerical Officer |  |  |  |

## Stakeholders and External Organisations

1.      **INTERNAL DEPENDENCIES**

| Dependency Details | Contact Name | Tel: (Work) |
|---|---|---|
| Dundee City Council – Finance Department | Director of Corporate Services | 01382 434000 |
| Angus Council – Finance Department | Director of Finance | 01307 461460 |
| Perth & Kinross Council – Finance Department | Director of Finance | 01738 475000 |
| Angus Council – Returning Officer | Mrs Shona Cameron | 01307 476226 |
| Perth & Kinross Council – Returning Officer | Mrs Christine Grant | 01738 475182 |
| Tayside Valuation Joint Board – Convener | Mr Kevin Cordell | 01382 433342 |
| Tayside Valuation Joint Board – Clerk | Mr Roger Mennie | 01382 434202 |
| Tayside Valuation Joint Board – Treasurer | Mr Robert Emmott | 01382 433555 |

## 2.	THIRD PARTY SUPPLIERS

| Service Provided | Name of Service Provider | Address | Tel: (Work) |
|---|---|---|---|
| Electoral Registration | Idox Elections | 2nd Floor, 1310 Waterside, Arlington Business Park, THEALE, RG7 4SA | 03330 111665 |
| Telephone, Internet and Text Registration | Idox Elections | 2nd Floor, 1310 Waterside, Arlington Business Park, THEALE, RG7 4SA | 03330 111665 |
| Printing of Canvass forms | Critiqom | Document House, Phoenix Crescent, Strathclyde Business Park, BELLSHILL, ML4 3NJ | 01698 847979 |
| Printing of Poll Cards | Idox | 25D Bishop Street, Londonderry, NORTHERN IRELAND, RT48 6PR | 03330 111426 |
| Telephones –Forfar & Perth | PlanNet21 Communications | Unit 12, Flexspace Business Centre, Harvest Road, Newbridge, EDINBURGH, EH28 8LW | 0131 554 3438 |
| Flexitime system | HFX Ltd | 1st Floor, The Water Circle, Green Street, Gaunts End, ELSENHAM, Herts, CM22 6DR | 01279 647474 |
| Franking Machines | CF Asset Finance Ltd | City House, City Road, CHESTER, CH88 3AN | 0845 603 5580 |
| Photocopiers | Xerox UK Ltd | C/o Dundee City Council Contract | 01382 434000 |
| Fire Equipment | Chubb Fire Ltd | 400 Dallow Road, LUTON, LU1 1UR | 0870 240 1666 |
| Intruder Alarms – Dundee & Forfar | Nova Alarms | Scott Way, West Pitkerro Industrial Estate, DUNDEE, DD5 3RX | 01382 775029 (Out of hours: 0844 335 2087) |
| Intruder Alarms - Perth | Electroguard Security Systems | The Security Centre, 203 Strathmore Avenue, DUNDEE, DD3 6SN | 01382 818480 |
| Office Supplies/Furniture | Langstane Press Ltd. | Faraday Street, Dryburgh Industrial Estate, DUNDEE, DD2 3QQ | 01382 818885 |

3. **EXTERNAL AGENCIES**

| Details of External Agency | Contact Name | Tel: (Work) |
|---|---|---|
| Fire | Emergency Service | 999 |
| Police | Emergency Service | 999 |
| Ambulance | Emergency Service | 999 |
| Electricity | Scottish Hydro-Electric | 0800 300 999 |
| Water | Scottish Water | 0845 601 8855 |
| Postal Service | Royal Mail | 08457 950 950 |
| **Building Landlords** | | |
| Forfar – William Wallace House | Angus Council Corporate Services | 01307 461460 |
| Perth – Robertson House | Smart & Company | 01738 318100 |
| **Facilities Services (Cleaning)** | | |
| Tayside Contracts – Angus | Gena Rice | 01307 460238 |
| Tayside Contracts – Perth | Lesley Stout | 01738 588041 |

4. **STAKEHOLDERS/PARTNERSHIPS**

| Stakeholder/Partnership Details | Contact Name | Tel: (Work) |
|---|---|---|
| Scottish Assessors Association | See list at 5 below | |
| Valuation Office Agency | Alan Colston | 03000 507545: |
| Electoral Commission | Martin McKeown | 0131 2250210 |
| Scottish Government | Ian Storrie | 0131 244 7805 |

# 5. ASSESSORS CONTACT DETAILS

| Valuation Authority | Local Council Area | Tel/Fax/Email/Web |
|---|---|---|
| Ayrshire Valuation Joint Board<br>9 Wellington Square<br>AYR   KA7 1HL | East Ayrshire Council<br>North Ayrshire Council<br>South Ayrshire Council | Tel:   01292 612221<br>Fax:   01292 612673<br>E-mail:   avjb@south-ayrshire.gov.uk<br>Website: www.ayrshire-vjb.gov.uk/ |
| Central Scotland Valuation Joint Board<br>Hillside House<br>Laurelhill<br>STIRLING   FK7 9JQ | Clackmannanshire Council<br>Falkirk Council<br>Stirling Council | Tel:   01786 892200<br>Fax:   01786 892255<br>E-mail: assessor@centralscotland-vjb.gov.uk |
| Dumfries and Galloway Council<br>Militia House<br>English Street<br>DUMFRIES     DG1 2HR | Dumfries & Galloway Council | Tel:   (030 33 33 3002)<br>E-mail:   assessor@dumgal.gov.uk |
| Dunbartonshire and Argyll and Bute Valuation Joint Board<br>235 Dumbarton Road<br>CLYDEBANK   G81 4XJ | Argyll & Bute Council<br>West Dunbartonshire Council<br>East Dunbartonshire Council | Tel :   0141 562 1200<br>Fax:   0141 562 1255<br>E-mail:   assessor@dab-vjb.gov.uk<br>Website: www.dab-vjb.gov.uk |
| Fife Council<br>Bankhead Central 2<br>Bankhead Park<br>GLENROTHES   KY7 6GH | Fife Council | Tel:   03451 555533<br>E-mail:   fife.assessor@fife.gov.uk |
| Glasgow City Council<br>45 John Street<br>GLASGOW   G1 1JE | Glasgow City Council | Tel:   0141 287 1111<br>Fax:   0141 287 7519<br>E-mail:   assessor@glasgow.gov.uk |
| Grampian Valuation Joint Board<br>Woodhill House<br>Westburn Road<br>ABERDEEN   AB16 5GE | Aberdeen City Council<br>Moray Council | Tel:   01224 664360<br>Fax:   01224 664361<br>E-mail:   aberdeen@grampian-vjb.gov.uk<br>Website: www.grampian-vjb.gov.uk |
| Highland & Western Isles Valuation Joint Board<br>Moray House<br>16/18 Bank Street<br>INVERNESS   IV1 1QY | Highland Council<br>(Western Isles Islands Council) | Tel:   01463 575395<br>E-mail:   assessor@highland.gov.uk<br>Website: www.highland.gov.uk/hwi-vjb/ |
| Lanarkshire Valuation Joint Board<br>David Dale House<br>45 John Street<br>BLANTYRE   G72 0AA | North Lanarkshire Council<br>South Lanarkshire Council | Tel:   01698 476000<br>Fax:   01698 476010<br>E-mail:   assessor@southlanarkshire.gov.uk<br>Website: www.lanarkshire-vjb.gov.uk/ |
| Lothian Valuation Joint Board<br>17A South Gyle Crescent<br>EDINBURGH   EH12 9FL | City of Edinburgh Council<br>East Lothian Council<br>Mid Lothian Council<br>West Lothian Council | Tel:   0131-344 2500<br>Fax:   0131-344 2600<br>E-mail:   assessor@lothian-vjb.gov.uk<br>Website: www.lothian-vjb.gov.uk/ |
| Orkney & Shetland Valuation Joint Board<br>8 Broad Street<br>KIRKWALL<br>Orkney KW15 1NX | Orkney Islands Council<br>Shetland Islands Council | Tel:   01856 8762222<br>Fax:   01856 870949<br>E-mail:   assessor@orkney.gov.uk<br>E-mail   assessor@shetland.gov.uk<br>Website: www.orkney-shetland-vjb.co.uk/ |
| Renfrewshire Valuation Joint Board<br>The Robertson Centre<br>16 Glasgow Road<br>PAISLEY   PA1 3QF | Inverclyde Council<br>East Renfrewshire Council<br>Renfrewshire Council | Tel:   0300 300 0150<br>E-mail:   assessor@renfrewshire-vjb.gov.uk |
| Scottish Borders Council<br>Old School Building<br>Council Headquarters<br>Newtown St Boswells<br>MELROSE   TD6 0SA | Scottish Borders Council | Tel:   01835 825100<br>Fax:   01835 825101<br>E-mail:   assessor@scotborders.gov.uk |