

Appendix One
LJVB risk register
Changes following risk workshop

Risk reference number	Classification	Key risk	Description of risk	Controls in place	Inherent risk score	Residual risk score
RP/1243	Financial	Insufficient funds for Electoral Registration duties	Insufficient funds to undertake the statutory duties by the ERO in connection with electoral registration duties. If this was not undertaken the ERO would be in breach of his statutory duties, and may lead to citizens not obtaining the right to vote	1) Realignment of budgets 2) Request to treasurer for further funding (when required) 3) Notification to the board/clerk (when required)	9	9
RP/1245	Financial	Lack of control over costs	Lack of control over costs - Valuation Appeal Panels, IT Central Recharges, Print Contracts, Property	1) Enter into dialogue with treasurer with regards to setting up an adequate mechanism for dealing with such matters. 2) Discuss with relevant resources current recharge models.	9	9
RP/1247	Financial	Insufficient budget from SLC/NLC	Insufficient budget from SLC/NLC could lead to the board being unable to provide statutory services	1) Realignment of budgets 2) Request to treasurer for further funding (when required) 3) Notification to the board/clerk (when required)	9	9
New Risk	Operational, continuity and performance	Use of pool cars	Compulsory requirement of LVJB to participate in SLC Pool Car scheme. LVJB have a high proportion of car users and this will lead to loss of survey time due to car checks etc of approximately 1 one hour per day (20%).	1) Actively negotiating with SLC.	9	9
New Risk	Financial	Risks arising from budget strategy - Council Tax	The Board's workload is the highest in Scotland for this area; therefore the highest risk to service delivery arising from the budget strategy affects Council Tax. Increased workloads can be attributed to time taken to add new houses and when amending bandings following an extension or	1) The new survey management database will improve the efficiency of allocation and monitoring of workload. 2) Workload will be carried out in accordance with statute but may not necessarily meet the expectations of Council tax	9	9

			sale. Whilst workloads have increased, staffing levels have fallen. As a result there could be an increase in the number of complaints received affecting the reputation of the Board.	payers.		
RP/1239	Environmental	Loss or damage to servers/communications cabinet	Loss or damage to servers/communications cabinet due to water ingress. There is a history of water ingress due to construction of the building.	1) IT Servers moved to Caird Centre with backup in Almada Street 2) Disaster recovery project/contingency planning in place	9	7
New Risk	Financial	Risks arising from budget strategy - Non Domestic	Constraints due to the budget strategy means the Board could fail to properly resource appeal workloads which increase the risk of loss of value on the appeal and loss of income to the rating pool. Loss of income will also be realised for Valuation of Electricity Subjects as the valuation requires to be carried out in the same financial year. Resources would require to be moved from Council Tax to deal with the growing workload. The reputation of the Board is also at risk due to making late entries.	1) Survey management database being developed to improve the efficiency of the allocation and monitoring of survey workload. This will reduce the risk of failure to carry out surveys within the appropriate financial year. 2) Resources are reallocated from workloads with a less pressing statutory timetable.	9	7
New Risk	People	Industrial action	Industrial action by staff as a result of Government budget savings, pension changes, tax rises, pay freezes etc	1) Partnership working 2) Grievance procedures 3) JTUC participation 4) JCC Structures 5) Employee issues forum	9	7
New Risk	Operational, continuity and performance	Difficulty in recruiting canvassers	Difficulty in recruiting canvassers (90) if they are not allowed to claim car mileage for using their own vehicle.	1) Actively negotiating with SLC.	9	7
New Risk	Financial	Risks arising from budget strategy - - ERO	Constraints due to the budget strategy could result in a reduction of resources allocated to electoral registration which increases the risk of between 32000 to 70000 electors dropping off the register. The board will also struggle to meet the Electoral Commission's performance standards	1) Changes made to canvass form and notes to increase uptake of electronic registration. This will reduce the amount of time required to process canvas returns 2) Door to door canvass has been focused on properties	9	7

			for electoral registration. The workload of the board continues to grow whilst staff levels are falling. Workload has increased by around 20% per FTE.	where there is no registered elector or where there is evidence of change of Council tax payer. This has reduced the cost of door to door canvassing. 3) Use of data matching has increased to reduce the risk of electors being deadwooded. This will be developed to offset the effects of further reductions in resources.		
RP/1258	Operational, Continuity & Performance	Large reductions in rating valuations	Large reductions in rating valuations	1) Ensure adequate checking and authorising procedures are in place in relation to valuations of non domestic subjects	9	4
RP/1260	Operational, Continuity & Performance	Failure of Eros Software during canvass/election	Failure of Eros Software during canvass/election	1) Fairly stable software package 2) No known failures 3) Software support and maintenance agreement in place	9	4
RP/1249	IT	Total computer/communications failure	Total computer/communications failure could cause disruption to the services provided	1) Disaster recovery in place for servers – backup based in Almada Street	9	3
RP/1273	Political	Abolition of council tax	Abolition of council tax could have a potential impact on staffing numbers which could lead to a potential redundancy situation.		8	8
New Risk	Operational, continuity and performance	Increase in non domestic appeals	Upsurge in non-domestic appeal activity due to the current economic climate. This leads to greater time spent by LVJB staff on handling appeals.	1) Continual development of non domestic appeal disposal programme	8	7
RP/1244	Financial	Lack of control of cost of electricity appeal case	Lack of control of cost of electricity appeal cases (Lands Tribunal) money and resources	1) Undertake training in relation to the valuation of electricity subjects to ensure values are robust 2) Dialogue has taken place with relevant agents in relation to the valuation of electricity subjects	8	5

RP/1276	Regulatory/Legislative	Failure to comply with new/existing legislation	Failure to comply with new and existing legislation - FOI/equalities/discrimination	1) Build into service plan ownership and review details of such undertakings 2) Monitor via LVJB Management Team Meetings	8	5
RP/1279	Unspecified	Increase in council tax proposals	Increase in council tax proposals - A recent surge in council tax proposals/appeals (mostly due to media campaign) has had a real impact on workload. Risk is that this increase has an impact on service delivery in general.	1) Develop realistic strategy for disposal of council tax proposals/appeals 2) Discuss with secretary to LVAP the management of the increased workload 3) Enclose statement re council tax in responses to proposers outlining valuation for council tax	8	5
RP/1269	People	Failure to retain or recruit staff	Failure to retain or recruit staff including those with appropriate qualifications eg RICS	1) Work life balance/conditions of service/personnel policies/job families 2) Trainee surveyors employed 3) PDR Process 4) Work experience students 5) Offer to existing staff of training/professional qualifications	8	3
RP/1274	Political	Changes to legislation causes problems	Changes to legislation causes problems in how service is delivered, or LVJB not kept up to date with new legislation	1) Monitoring of legislative changes 2) Participation in professional associations - share best practice/interpretation 3) Team briefings 4) In house valuation forum/in house electoral forum provide opportunities to discuss new legislation	8	3
RP/1267	People	Health epidemic	Health epidemic could lead to staff shortages and reduction in service provided	1) Reciprocal agreement in place with other Valuation Joint Boards to assist each other in times of crisis/short staffing	8	3
RP/1270	People	Injury/death/physical or verbal assault of Valuation/ERO staff	Injury/death/assault of Valuation/ERO staff whilst undertaking surveys could potentially lead to liability claims being intimated against the joint board	1) Risk Assessments 2) Personal Safety Policy 3) Occupational Health and Safety Management System 4) Training and instruction	8	3

RP/1238	Assets	Damage to building	Damage to building by fire, flood, storm or theft could disrupt the services provided by LVJB	<ol style="list-style-type: none"> 1) LVJB currently undertaking project to procure business interruption insurance 2) Various Continuity plans in place 	7	7
RP/1246	Financial	Lack of funding for valuation electricity subjects	Lack of funding for valuation of electricity subjects which fall under the non domestic ratings (valuation of utilities) (Scotland) Order 2005. Failure to comply with the statutory duty could lead to a potential loss of income for the Scottish Government - subjects falling into this category amounts to currently near £140m in SLC's non domestic billing account.	<ol style="list-style-type: none"> 1) Operational restructure - resources to undertake work 2) Realignment of budgets 3) Request to treasurer for further funding (when required) 4) Notification to the board/clerk (when required) 	7	7
RP/1272	Political	Lack of notice given for general election, Scottish Parliament Election or referendum	Lack of notice given for general election could lead to not having enough time to undertake the associated workload effectively and efficiently	<ol style="list-style-type: none"> 1) Awaiting legislation being implemented regarding fixed terms at Westminster 	7	5
New Risk	Operational, continuity and performance	Increased number of registration appeals from prisoners	Registration appeals from prisoners are on the increase due to campaigns by human rights lawyers and new legislation. This leads to resources being tied up handling appeals and an increase in costs	<ol style="list-style-type: none"> 1) Prisoner application hearings 2) System and procedure in place to handle appeals 3) Liaison with Scotland Office on legislation updates 4) Relationships maintained with SLC Legal Services 	7	5
RP/1266	People	Changes to conditions of service	Changes to conditions of service - car users, pensions, holidays, etc could cause general staffing issues.	<ol style="list-style-type: none"> 1) Maintain contact with Personnel in relation to any changes 2) Maintain awareness of such issues across industry in general 	7	4
RP/1281	Reputation	Claims submitted against LVJB	Claims submitted against LVJB for negligence or failure to comply with legislation (equality/discrimination)	<ol style="list-style-type: none"> 1) Build into service plan ownership and review details of such undertakings 2) Monitor via LVJB team meetings 	7	4
RP/1268	People	Lack of adequate skills/qualifications/training	Lack of adequate skills/qualifications/training in existing workforce	<ol style="list-style-type: none"> 1) PDR Process 2) Training strategy (3 year plan) 3) APC/RCS Training 4) Continuous professional development 	7	2

				5) Continual appraisal of organisation structure		
New Risk	People	Use of my Scotland portal to advertise jobs	Advertising of vacancies restricted to the My Job Scotland Portal may exclude persons with no IT access or those from varying socio-economic or diverse groups having no knowledge of vacancies	1) LVJB sit on working groups for equality issues 2) Free IT access available in SLC libraries	6	5
RP/1254	Operational, Continuity & Performance	Lack of efficient reporting tool from Northgate	Lack of efficient reporting tool from Northgate (valuation IT System) impacts on performance management and individual employee's ability to scope their current workload.	1) Developed alternative IT reporting solutions 2) Survey workload management functionality	6	4
RP/1255	Operational, Continuity & Performance	Lack of comprehensive audit controls in Eros	Lack of comprehensive audit controls in Eros software could lead to the electoral registration process is exposed to various errors which could be mitigated if adequate audit control measures were in place.	1) Alternative manual checks outwith system in place	6	4
RP/1241	Unspecified	Lack of control over working environment for staff	Working environment could lead to staff illness and potential liability claims against LVJB	1) Contractor undertaking heating checks 2) Maintenance undertaken by SLC	5	4
RP/1252	Operational, Continuity & Performance	Lack of control over SLC IT Support Staff	Lack of control over SLC IT Support Staff - LVJB having no say in the recruitment of personnel within SLCs business team which services our organisation; no control over the annual leave of such staff which impacts on workload scheduling; and task management is difficult to control/plan as they do not report to a line manager who is not part of LVJB	1) IT staff now based within LVJB offices	5	4
RP/1240	Environmental	Severe weather	Severe weather could result in surveys etc being unable to be carried out due to unsafe conditions or staff unable to travel to work base.	1) Home working 2) Remote access to IT systems 3) Skeleton staff availability 4) Reduced hours	5	3

RP/1277	Regulatory/Le gislative	Danger of late legislation, for example prisoners, parliamentary boundaries, electoral registration, sheltered housing regulations	Danger of late legislation could lead to not having enough time to undertake the associated workload effectively and efficiently	1) New legislation implemented on time by the Board	5	2
RP/1248	Financial	Lack of adequate insurance cover in place for LVJB	Lack of adequate insurance cover in place for LVJB	1) Project underway to review levels of insurance covers 2) Insurance polices subject to tender process	4	4
RP/1261	Operational, Continuity & Performance	Lack of comprehensive business continuity programme, includes loss of services (gas, water, electricity)	Lack of comprehensive business continuity programme, includes loss of services (gas, water, electricity)	1) Separate procedures in place for various elements. For example IT failure/epidemic	4	4
RP/1275	Political	Danger of failing to maintain the electoral register	Danger of failing to maintain the electoral register if election called during canvas (under new 11 day rule for registration) could lead to certain citizens not being able to vote	1) No problems encountered at last election	4	3
RP/1280	Reputation	Bad publicity	Bad publicity could damage the reputation of the joint board	1) Comprehensive governance structure to raise potential reputation problems 2) Use of SLC CCPA service	4	3
RP/1256	Operational, Continuity & Performance	Lack of comprehensive document management system	Lack of comprehensive document management system	1) Introduced property EDMS	4	2
RP/1259	Operational, Continuity & Performance	Failure to revise/maintain/update service plan	Failure to revise/maintain/update service plan on an annual basis	1) Regular updates reported to Board	4	2
RP/1278	Reputation	Lack of comprehensive information management	Lack of comprehensive information management policy/procedures - examples include recent cases which highlighted the need for secure transit of certain information; failure to comply with FOI legislation. Where LVJB do not comply with relevant legislation they would be in breach of duty. Includes loss of information (USB sticks etc), fines from the Information Commissioner	1) FOI Policy 2) Data Protection procedures 3) Information retention schedule	4	2

RP/1262	Operational, Continuity & Performance	Participation in health board elections	ERO is required to participate in health board elections which could have an impact on current workload, resulting in a resource issue	1) Monitored outcome of pilot elections in other areas so that lessons can be learned.	3	3
RP/1263	People	SLC Personnel grading structure	SLC Personnel grading structure fails to reflect LVJB as a distinct organisation		3	3
RP/1253	Operational, Continuity & Performance	SLC payroll staff make changes	SLC payroll staff make changes to salaries or deductions without prior LVJB authorisation	1) Mitigated by introduction of People Connect	3	1
RP/1283	IT	Failure of the Scottish Assessors Association portal web site	Failure of the Scottish Assessors Association portal web site could lead to a significant increase in enquiries from service users to LVJB	1) No known experience of Portal downtime. Good track record of access	2	2

**Appendix two
LVJB Risk Control Plan**

Risk reference number	Key risk	Action number	Action	Responsible person	Target date
RP/1238	Damage to building	AC/2750	Pursue agreement of SLA for maintenance/repairs for building and occupancy of building with Estates, Enterprise Resources.	Gary Bennett	Ongoing
RP/1238	Damage to building	AC/2751	Consolidation of business continuity plans -to be completed	Gary Bennett	30/9/2011
RP/1239	Loss or damage to servers/communications cabinet	AC/2752	Seek resolution with IT services to alleviate the problems caused by water penetration to Communications Cabinet	Gary Bennett	Ongoing
RP/1273	Abolition of council tax	AC/2748	Monitoring of situation and contributing towards consultations (when required)	Gary Bennett	Ongoing