

AVJB RISK REGISTER



RISK REGISTER

Title	Risk Register
Who should use this	All Staff
Author	Corporate Management Team
Approved by Management Team	20 th February 2018
Approved by Joint Board	6 th March 2018
Reviewer	Assessor & ERO
Review Date	Each CGF ; Management Team Meeting & 6 monthly to the Board

Review History

REVIEW NO.	DETAILS	RELEASE DATE
1	REVIEWED MARCH 2016. DUE TO REVIEW SEPTEMBER 2016	MARCH 2016
2	RATINGS ADDED	OCTOBER 2016
3	REVIEWED & PRESENTED TO THE BOARD	SEPTEMBER 2017
4	REVIEWED & PRESENTED TO THE BOARD	MARCH 2018
5		
6		

Calculation of AVJB Risk Register Scoring

The Management Team identify the risks involved within the organisation and these are scored in line with the following format:-

- Risk Rating** - this comprises 2 elements
1. **Likelihood** - how likely a risk is to materialise
 2. **Severity** - consider the impact on the organisation, should the risk arise

Likelihood		Severity	
1	Unforeseeable	1	Negligible
2	Very unlikely	2	Minor
3	Possible	3	Moderate
4	Likely	4	Major
5	Very Likely	5	Critical
6	Almost Certain	6	Catastrophic
Risk Rating = Likelihood x Severity			

Depending on the risk, a score in the range 1 to 36 can be achieved i.e. very low risk to very high risk.

Tolerability

Certain risks have to be accepted and that there are no reasonable measures that can be taken to provide further control or mitigation. Such decisions are based on the resource requirements to manage the risk to a lower level. The Tolerability score reflects these factors.

Target Rating

This is the score that is hoped to be achieved; following review/updating of the risk.

The Risk Register is a standing item on the Assessors Corporate Governance Forum (CGF) and bimonthly Management Team meetings.

Where the Risk Rating is greater than the Tolerability Rating (i.e. greater than 9) then the risk is reviewed every month.

Where the Risk Rating is equal to the Tolerability Rating (i.e. equal to 9) then the risk is reviewed every six months.

Where the Risk Rating is less than the Tolerability Rating (i.e. less than 9) then the risk is reviewed every year.

The Risk Register is not a static document but one that requires constant monitoring, updating and the incorporation of any identified new risks in order to reflect the changes within the organisation.

RISK REGISTER TARGET RATING

Target Rating	Risk Rating/Tolerability Rating	Review Period
Where the Risk Rating is greater than the Tolerability Rating	>9	Every month at the CGF & bimonthly at the MTM. 6 monthly to the JB.
Where the Risk Rating is equal to the Tolerability Rating	=9	Every 6 months at the MTM. 6 monthly to the JB.
Where the Risk Rating is less than the Tolerability Rating	<9	Every 12 months at the MTM. Annually to the JB.

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
1	Supply and Resources (Non-Staffing)	Difference between our stakeholders', and their representatives', expectations of service delivery and efficiency and effectiveness of services actually delivered	<p>Appearance of providing poor service.</p> <p>Ratepayers / Council Tax Payers not satisfied.</p> <p>Agents not satisfied.</p> <p>Politicians not satisfied.</p> <p>Poor staff morale.</p>	<p>Through partnership working with the SAA or by direct contact with stakeholders such as: - Scottish Ratepayers' Forum; SBRSA; Appeals Panel; make intentions clear and identify source of constraints.</p> <p>Consult with ratepayers / Council Tax Payers and agents through issue of Customer Questionnaires.</p> <p>Report to the Scottish Government through the SAA.</p> <p>Report to the Board at Board meetings or by the use of interim reports.</p> <p>Liaise with Finance Depts.</p> <p>Mange Service Users Expectations.</p> <p>Holistic approach to service delivery.</p> <p>Expand our suite of KPI's.</p>	3 x 4 =12	9	3x3 =9	John McConville AVJB	Monthly at the CGF and bimonthly at the MTM.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
2	Supply and Resources (Non-Staffing)	Inadequate business recovery arrangements in the event of say catastrophic technology failure or fire which destroys all records leading to partial or total loss of critical services such as premises, utilities (e.g. electricity, water, heating)	<p>Loss of ability to maintain statutory lists.</p> <p>Possible failure to produce polling place registers etc.</p> <p>Failure to meet statutory & other deadlines.</p> <p>Large expenditure required to replace records.</p> <p>Functional paralysis.</p> <p>Possible loss of revenue to each of the three Councils.</p>	<p>Strict data backup routines, fire safes and off site data tapes.</p> <p>Development of recovery routines at time of technology updates.</p> <p>Developments of substitute hardware arrangements.</p> <p>Long term transfer of all records into data format in concert with developments arising out of statutory necessity to ease funding requirements.</p> <p>Continued use of partnerships to provide off-site options for recovery process.</p> <p>Continued use of our Business Continuity Strategy which is reviewed and updated on a regular basis.</p>	2x4 =8	8	2x4 =8	John McConville AVJB	Every 6 months.	Annually September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
3	Supply and Resources (Non-Staffing)	Inadequate systems and / or use of technology resulting in slow systems, staff frustration, and possibly lagging behind other Assessors in developing adequate systems and technologies.	<p>Loss of morale and output.</p> <p>Inability to perform at the level of similar organisations.</p> <p>Poor service to public.</p> <p>Possible loss of revenue to each of the three Councils.</p> <p>Failure of electoral process.</p>	<p>Periodic review of systems to ensure that they are up-to-date.</p> <p>IT Strategy in place to deal with modernisation & transformation.</p> <p>Planned development or extension of systems.</p> <p>Taking advice of IT providers and advisors as to developments in field.</p> <p>Monitor developments in other Assessor's offices.</p> <p>Development of partnerships to reduce cost of procurement and increase speed of delivery.</p> <p>Adherence to 5 year rolling programme of upgrading and replacement of IT equipment.</p> <p>Review our core system and Electoral Management System to ensure they are up to date and fit for purpose.</p> <p>Explore the possibility of shared services with other similar organisations.</p>	3x3 =9	9	3x3 =9	Harry McCormick AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
3A	Supply and Resources (Non-Staffing)	Old technology resulting in skills shortage for development due to lead authority support staff changing as a consequence of ICT review.	System is only supported on a standstill basis as knowledge and skills required for development are lost.	<p>Core system review and ICT strategy resulting in change of system. Currently reserves are ring fenced for this.</p> <p>Investigate document imaging.</p> <p>Liaison with lead authority ICT and other Assessor offices.</p> <p>Explore partnership working and or where possible shared services.</p>	4x4 =16	9	3x3 =9	Harry McCormick AVJB	Monthly at the CGF and bimonthly at the MTM.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
3B	Supply and Resources (Non-Staffing)	Unable to deliver Transfer data to the 3 finance departments caused by core system failure.	Inability of system to interface with Council Finance departments resulting in manual processes and possible delay of rateable values & Council Tax entries for revenue raising.	<p>Undertake full assessment of possible replacement system.</p> <p>Liaise with IT finance departments of the 3 Councils and plan in a suitable contingency should main system fail.</p>	3x3 =9	9	3x2 =6	Harry McCormick AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
3C	Supply and Resources (Non-Staffing)	Complete loss of IT systems due to cyber/malware attacks	Inability to carry out core functions including interfacing with Council Finance Departments, Returning Officers and other internal/external partners	<p>Ensure disc back-ups are taken and held by SAC ICT in accordance with procedures.</p> <p>Ensure all application data is backed up by SAC ICT and held on virtual servers at off site location in accordance with procedures.</p> <p>Have manual workarounds ready to be implemented as quickly as possible</p> <p>Ensure Business Continuity Plan is kept up to date and constantly under review.</p>	3x4 =12	9	3x3 = 9	John McConville AVJB	Monthly at the CGF and bimonthly at the MTM.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
3D	Supply and Resources (Non-Staffing)	Server which hosts the core system Valuation Roll and Council Tax data fails.	Unable to provide updates to the Valuation Roll for NDR and Council Tax Valuation List.	Core system review and ICT strategy resulting in change of system. Currently reserves are ring fenced for this. Liaison with lead authority ICT and exploring partnership working and or where possible shared services with other Assessor offices.	4x4=16	9	3x3=9	Harry McCormick AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018
4	Supply and Resources (Non-Staffing)	Due to recent budget constraints staffing levels are set too low to allow proper delivery of all services	Failure to provide adequate service on discretionary elements of functions. Failure to meet statutory timetables. Possible loss of revenue to each of the three Councils. Failure of electoral process. Public dissatisfaction and complaints. Loss of morale.	Obtain support of Board for sufficient funding recognising the necessity for a tension being present in the budgetary process. Continue to seek three year budgeting cycle, although this is only indicative. Improve efficiency and effectiveness despite budget pressures. Make best use of technology. Review vacant posts when they become available to establish where support is best placed within the organisation. Work with the treasurer of the Board to examine possible cost savings going forward. Review of KPIs.	3x4=12	9	3x4=12	Helen McPhee AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
5	Supply and Resources (Non-Staffing)	Fixed resources in conflict with variable demand for services at key times resulting in, for example large numbers of rating / Council Tax appeals, large numbers of postal voting applications etc.	<p>Failure to meet statutory deadlines.</p> <p>KPIs affected.</p> <p>Potential loss of revenue to the three Councils.</p> <p>Failure of the electoral process all leading to public dissatisfaction, poor staff morale, stress, anxiety and an increase in sickness absence.</p>	<p>Monitoring workloads, staff flexibility, review of provision of extended hours where necessary and retention of reserves in order to meet unplanned peaks in service demands.</p> <p>Ring fence reserves for unplanned elections and IT review.</p>	3x4 =12	9	3x3 =9	Helen McPhee AVJB	Monthly at the CGF and bimonthly at the MTM.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
5A	Supply and Resources (Non-Staffing)	Different Franchised Elections called close together resulting in timetables overlapping and Staff/Elector confusion.	<p>Due to different Franchise and deadlines on Elections staff could potentially give out wrong or misleading information.</p> <p>Electors become confused on voting entitlement.</p>	<p>Clear project plans are compiled for every electoral event.</p> <p>Staff training is provided with guidance hand-outs ensuring all staff are aware of respective events.</p> <p>The new EMS will have greater functionality to monitor and control elections more efficiently and identify staff training needs.</p>	3x3 =9	9	3x3 =9	Harry McCormick AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
5B	Supply and Resources (Non-Staffing)	Lack of Funding for unplanned Electoral Events.	<p>Possible overspend on budget in order to ensure sufficient resources are made available to minimise disenfranchisement.</p>	<p>Regular contact with Treasurer of the Board.</p> <p>An amount is ring-fenced in reserves for such events.</p> <p>Possibility of Scottish Government or Westminster government funding.</p>	3x3=9	9	3x3=9	Helen McPhee AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
5C	Supply and Resources (Non-Staffing)	Inability of EMS system to accommodate boundary changes quickly and efficiently.	Properties may not be added into the correct allocated wards. Insufficient resources or time to fully audit changes.	Geo referencing of all new properties is a requirement and work is on-going to reference existing properties. GIS systems will be useful for boundary changes. New EMS will have functionality to allow further cross checking of polling schemes. Work with the RO's on all electoral events; polling schemes; boundary changes.	2x3 =6	9	2x3 =6	Harry McCormick AVJB	Every 6 months.	Annually September 2018
5D	Supply and Resources (Non-Staffing)	Lack of knowledge of EMS system to produce Election outputs.	Since having the new EMS in place there hasn't been an election, and none are planned until 2021. System knowledge is limited.	Expand training to all staff on ERO duties and deploy these resources as required. Engage with RO and EMS supplier to setup dummy elections and fully test operationally and scrutinise all outputs. Discussed at each ER & TSU Forum	3x4 =12	9	3x3 =9	Harry McCormick AVJB	Every 6 months.	Every 6 months March 2018 September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
6	Supply and Resources (Non-Staffing)	The Board must ensure the best use of all available resources.	<p>There is a risk that delivery of all services will not be achieved leading to customers and stakeholders being disappointed.</p> <p>Dissatisfied customers and stakeholders may lead to an increase in appeals and complaints which in turn lead to an increased workloads and poor staff morale.</p>	<p>Strong and effective performance management will be required together with partnership working with the three Councils and the Treasurer to the Board.</p> <p>Shared Services will be explored with other similar organisations as an option to alleviate resource pressures.</p> <p>Modernisation & Transformation Programme to aid resource allocation.</p>	3x3 =9	9	2x4 =8	Helen McPhee AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
7	Supply and Resources (Non-Staffing)	The Board has no capital budget.	<p>There is a risk that a lack of capital investment in the Board's premises, plant and equipment will lead to deterioration and failure resulting in excessive repair and replacement costs in the future.</p> <p>Deterioration in the Board's buildings, plant and equipment could lead to a reduction in value of the Board's assets and also lead to a poorer working environment for staff and poorer perception of the Board by members of the public and partners visiting our premises.</p>	<p>Obtain support from the Board, and the three Councils to ensure sufficient funding, for capital projects but nevertheless recognising current budgetary challenges.</p> <p>Work closely with the Treasurer to the Board to identify possible opportunities to improve targeted capital expenditure.</p> <p>Identify where within the budget the Boards property can be maintained to a reasonable standard, whilst meeting the allocated budget where possible.</p>	2x4 =8	9	2x4 =8	Helen McPhee AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
8	Supply and Resources (Non-Staffing)	Disposal of remaining 2005 and 2010 Revaluation appeals which have been referred to the Lands Tribunal for Scotland	Disposing of these very detailed and very complicated appeals will require substantial resources including staff time and the engagement of specialist legal advisors. Dealing with these appeals will have an impact on budgets and may have an impact on performance (KPI's) and staff morale.	Liaise with the Lands Tribunal for Scotland, other Assessors, the Boards appointed legal advisors and the Treasurer to the Board.	2x4 =8	9	2x4 =8	John McConville AVJB	Every 6 months.	Every 12 months September 2018
8a	Supply and Resources (Non-Staffing)	Disposal of the 2017 Revaluation Appeals within the statutory deadline.	Disposing of these appeals will require substantial resources including staff time and the potential engagement of specialist legal advisors. Dealing with these appeals will have an impact on budgets and may have an impact on performance (KPI's) and staff morale.	Liaise with the Chair & Secretary of the local Valuation Appeal Panel re a disposal timetable. Introduce, with the agreement of the local Valuation Appeal Panel and the Secretary to the Panel, an Assessors Appeal Timetable and distribute this to the main agents; and include in citation mail. Train staff involved in these appeals on the above. Work in partnership with the SAA regarding specialist subjects and their disposal.	3 x 4 = 12	9	3x4 =12	John McConville AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
9	Supply and Resources (Non-Staffing)	Availability of financial information makes budget management more difficult, for example a lack of awareness of true financial position until the end of the year.	Possible overspend or underspend, through excessive spending / prudence.	<p>Regular contact with Treasurer of the Board.</p> <p>Period reports received each month to allow budget management – identifying areas of concern.</p> <p>Regular monthly meeting take place between the MT and the treasurers representative to the Board.</p> <p>Budget Report update discussed at Corporate Governance Forum & MTM.</p>	2 x 4 = 8	9	2x3 = 6	Helen McPhee AVJB	Annually	Annually September 2018
10	Supply and Resources (Staffing)	Danger to staff on survey alone.	Adverse incident.	<p>Lone Workers Policy introduced and reviewed at each Health & Safety WG meeting.</p> <p>Health & Safety Policy and documents linked to it under review and will be placed on SP for staff to access once approved by the Board.</p> <p>Standing item at MTM.</p>	2 x 5 = 10	9	2x4 = 8	John McConville AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
11	Supply and Resources (Staffing)	Difficulty in recruiting staff of the quality required possibly leading to increased staff turnover, reduced numbers of applicants for advertised posts, reduced quality of applicants	Lack of skills and expertise in staff through lack of experience. Staff morale and expectations reduced. Level of service impaired.	Review of staffing structure. Investigate ability to reward and promote outstanding staff. Ensure that rewards compare properly with the 3 Unitary Authorities grading for equivalent posts, other Assessors and relevant private practice organisations. Work with external partners through the RICS to promote surveying and the Assessors Service.	3 x 4 = 12	9	3x3 = 9	Helen McPhee AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018
12	Supply and Resources (Staffing)	A Succession Plan for Senior Management is required (3 out of 3 are over 50 years of age)	Potentially large impact on the organisation's ability to carry out its functions, particularly at peak periods in the cycle.	Training for managers to enable them to progress. Continue to review and update the Workforce Plan. Facilitate progression by giving opportunities to develop required skill set.	4x3 =12	9	3x3 =9	Helen McPhee AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018
12a	Supply and Resources (Staffing)	A Succession Plan for middle Management is required (1 out of 2 is over 50 years of age)	Potential impact on the organisation's ability to carry out its functions, particularly at peak periods in the cycle.	Training for valuers to enable them to progress. Continue to review and update the Workforce Plan. Facilitate progression by giving opportunities to develop required skill set. Principal Valuers introduced.	3x3 =9	9	3x3 =9	Helen McPhee AVJB	Every 6 months.	Every 6 months March 2018 September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
13	Supply and Resources (Staffing)	Inadequate duplication of staff capability (as a result of absence through death or long term illness of a key member of staff, retirement of a key member of staff)	<p>Immediate loss of functional capability in specific caseload and more general functions.</p> <p>Delay in 'filling the gap'.</p> <p>Underperformance due to time taken to develop substitute capability.</p> <p>Increased stress on organisation.</p> <p>Loss of morale.</p>	<p>Improve communication between senior staff with respect to current and future workloads.</p> <p>Spread of specialist cases to reduce vulnerability to absence.</p> <p>Development of backup capability by introducing junior staff to new work and working practices over time.</p> <p>Controlled duplication of functionality in lower levels of clerical and technical sections.</p> <p>Continue to review and update the Workforce Plan.</p>	9x3 =9	9	3x3 = 9	Helen McPhee AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

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14	Supply and Resources (Staffing)	Inadequate staff training	<p>Low Morale, deteriorating performance, failure to meet deadlines, complaints as to quality of service, disproportionate error rate.</p> <p>Lack of opportunity to advance and take up promotion opportunities.</p>	<p>Sound communications and feedback through various methods.</p> <p>Specific training initiatives aimed at raising level of capability both generally and in specific areas.</p> <p>Continue to support and increase the profile of the office Training Group.</p> <p>Introduced core training for all staff.</p> <p>Monitoring complaints and appeals to identify areas of weakness.</p> <p>Using the Suggestions Box to identify / highlight areas of concern.</p> <p>Staff use of SAC Coast Link and the RICS – On line academy.</p> <p>Continue to review and update the Workforce Plan.</p>	3x3 =9	9	3x2 =6	Magnus Voy AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
14A	Supply and Resources (Staffing)	Local By-Elections called resulting from successful Parliamentary or other Elections.	<p>Staff resources unable to cope after major electoral events and requirement to fit in leave.</p>	<p>Monitoring workloads and review of leave approvals to ensure adequate staff.</p> <p>Restrict leave at certain times.</p> <p>Discussed at each ER & TSU Forum.</p>	3x2 =6	9	3x1 =3	Harry McCormick AVJB	Annually	<p>Annually</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
14B	Supply and Resources (Staffing)	Inability and or an unwillingness of staff to work extended hours at times of high demand on functions	Failure to deliver election/s; revaluation/s Failure to meet KPI's Failure to meet stakeholders expectation on service delivery	Restrict leave in the weeks running up to the event. Restrict leave at certain times. If necessary review terms & conditions. Engage with staff ensuring their understanding of the importance of meeting statutory and other deadlines. Discussed at each ER & TSU Forum.	4x3 = 12	9	3x2 = 6	Helen McPhee AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018
14C	Supply and Resources (Staffing)	Large increase in digital applications with unrealistic expectations of processing times	Failure to meet print deadlines Failure to meet RO deadlines	Expand training to all staff on ERO duties and deploy these resources as required. Restrict leave at certain times. Review processing times when new EMS in place. Discussed at each ER & TSU Forum.	4x3 = 12	9	3x2 = 6	Helen McPhee AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018
14D	Supply and Resources (Staffing)	Due to several years with no planned Elections staff system operating knowledge is diminished.	Knowledge isn't present to set-up and run Election software. Failure to delivery election registers.	Expand training to all staff on ERO duties and deploy these resources as required. Engage with RO and EMS supplier to setup dummy elections and fully test. Discussed at each ER & TSU Forum.	3x4 = 12	9	3x2 = 6	Harry McCormick AVJB	Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
15	Supply and Resources (Staffing)	Reductions to senior management positions could lead to an under staffed and inadequate Senior Management Team.	<p>Potentially large impact on the organisations ability to carry out its functions.</p> <p>Lack of leadership and direction leading to poor service provision and low staff morale.</p> <p>Lack of communication and engagement with the Board and partners such as other Assessors, the three Ayrshire Councils and the Scottish Government</p>	<p>Continue to monitor and update the Workforce Plan.</p> <p>Have a senior management succession plan in place.</p> <p>Provide adequate and proper training opportunities.</p> <p>Enter into shared service agreements where possible with other similar organisations to alleviate pressures.</p>	4x3 =12	9	3x3 =9	Helen McPhee AVJB	Monthly at the CGF and bimonthly at the MTM.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
16	Partnerships	Missed opportunities for partnerships to increase quality of service, develop joined up working or reduce-costs.	<p>Increased costs of providing core functions.</p> <p>Loss of competitor advantage.</p> <p>Poorer service delivery than other similar organisations.</p>	<p>Openness to partnership arrangements.</p> <p>Openness to shared service agreements.</p> <p>Continuous communication with likeliest partners.</p> <p>Investigation of all plausible schemes.</p> <p>Early commitment where possible.</p>	3 x 3 = 9	9	3x3 = 9	Helen McPhee AVJB	Every 6 months.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
17	Partnerships	Inability to meet partnership demands and deadlines.	Failure to meet deadlines, delay of development work, organisational stress, deferral of benefits, disruption to partnerships, service poorer than expected.	<p>Good communication and planning around projects.</p> <p>Setting of realistic programmes that encourage success rather than ensure failure.</p> <p>Provision of adequate resources both finance and staffing consistent with meeting Partnership expectations.</p> <p>Practical three year budgeting arrangements to deal with current and future expenditure.</p>	9x3 =9	9	2x3 =6	John McConville AVJB	Every 6 months	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
17a	Partnerships	Inability to transfer data to the 3 UAs due to data protection issues.	<p>Failure of UA's to meet KPI's on collection of rates and CT.</p> <p>Disruption to partnerships, service poorer than expected.</p>	<p>Provision of adequate Data Sharing Agreements with the 3 UA's for all information that shared between them, the Board and the Assessor & ERO.</p> <p>Clerk to the Board charged with contacting the relevant personnel in the UA's and compiling a DSA for the September Board meeting in 2017.</p>	3x4 =12	9	2x4 =8	Helen McPhee AVJB	Monthly at the CGF and bimonthly at the MTM.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
18	Legislation and Governance	FOI requests could outstrip resources available to deal with them for example receipt of a large number of requests from agents/journalists/academics or other professional data miners.	<p>Re-direction of resources away from core business.</p> <p>Failure to meet FOI deadlines therefore breaching FOI legislation possibly leading to prosecution and financial penalties.</p> <p>Reduction in level of service.</p>	<p>Monitoring of all FOI requests by senior management.</p> <p>Adhere to policy and procedures for handling requests.</p> <p>Refusing requests where merited in terms of FOI legislation.</p> <p>Work with partners.</p> <p>Standing item on the agendas of the CGF & MTM.</p>	3 x 4 = 12	9	2x4 = 8	John McConville AVJB	Monthly at the CGF and bimonthly at the MTM.	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
19	Legislation and Governance	Receipt of formal complaints to the Board could outstrip resources available to deal with them.	<p>Redirection of resources away from core business functions will be required.</p> <p>Possible failure to meet deadlines leading to criticism from the Scottish Public Services Ombudsman complainants and other stakeholders.</p>	<p>Senior management to continue to closely monitor all complaints.</p> <p>Adhere to complaints policies and procedures.</p> <p>Comply with SPSO reporting requirements.</p> <p>Standing item on the agendas of the CGF & MTM.</p>	3x3 =9	9	2x3 =6	John McConville AVJB	Every 6 months	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
20	Legislation and Governance	Maintenance and development of our Records Management Plan	<p>Redirection of resources away from core business functions.</p> <p>Managers and staff under additional pressures.</p>	<p>Senior management will require to liaise with National Records of Scotland, other Assessors and various partners in order to meet any deadlines/ requirements</p> <p>The setting of targets with timelines and checking of progress against.</p> <p>Additional training of all staff will be an on-going requirement.</p> <p>Phased introduction of the review of shared drives over a period of time.</p> <p>Consideration of a move to electronic data management.</p> <p>Update and overhaul of existing electronic filing systems and continued development of SharePoint site.</p>	3x3 =9	9	2x4 =8	John McConville AVJB	Every 6 months	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
21	Legislation and Governance	<p>Uncertainty as to legislative intent.</p> <p>Unanticipated legislation changing current regimes in a manner that requires data not held to be ingathered or radical changes to work practices against a problematic timetable</p>	<p>Examples include:-</p> <p>the now outdated Council Tax system;</p> <p>review of non-domestic rates;</p> <p>Individual Electoral Registration on-going changes.</p> <p>Possible inability to plan with certainty leading to unreasonable pressures to meet timetables and deadlines.</p> <p>Consequent impact on budget, staffing and overall service provision.</p>	<p>Difficult to predict with sufficient certainty but communication with legislators vital.</p> <p>Willingness of Board to provide resources at short notice important to ensure early progress. Interim reports can be proved to the Board for funding release where necessary.</p> <p>Agreement with other Assessors as to timescales and level of resources required important to ensure a consistent approach.</p> <p>Requires flexibility and goodwill of all staff.</p>	2x4 =8	9	2x4 = 8	Helen McPhee AVJB	Annually	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
22	Legislation and Governance	Legislation being passed late relative to operational deadlines	<p>Inability to meet timetable.</p> <p>Excessive pressure on staff and suppliers to deliver.</p> <p>Resort to overtime working and 'over a barrel' contract payments.</p> <p>Disruption to other programmes and level of service.</p> <p>Failure to meet targets, loss of revenue etc.</p>	<p>Engagement with legislators and provision of advice as to realistic, if challenging, timetables.</p> <p>Working through Scottish Assessors Association and stakeholder groups to make the Legislature aware of the practicalities for implementation of new measures.</p> <p>Forewarning Board of possible need for additional supply to meet deadlines.</p> <p>Lobbying of Legislators for adequate additional funding to meet any expedited timetables.</p>	2 x 4 = 8	9	2x4 = 8	Helen McPhee AVJB	Annually	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
23	Legislation and Governance	Boundary Commission reviews of local Ward boundaries and Parliamentary Constituency Boundaries	<p>Inability to meet timetable.</p> <p>Excessive pressure on staff to implement changes.</p> <p>Reliance on external sources and reliance on internal data and IT systems.</p> <p>Possible disruption to other programmes and level of service provision.</p>	<p>Engagement with Boundary Commission and other local and national Government services.</p> <p>Close working relationship with external IT providers and three Ayrshire Council Returning Officers and their staff.</p> <p>Engagement with EMS supplier.</p> <p>New or revised Polling Schemes audited by the relevant UA.</p>	3x3 =9	9	3x3 =9	Harry McCormick AVJB	Every 6 months	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
23a	Legislation and Governance	The possible changes to Council Tax e.g. introduction of levy on Band E properties and above or Revaluation announced – the non-survey of outstanding domestic alterations will have a major impact on resources.	Inability to meet internal and external KPI's. Resources stretched – excessive pressures on staff. Excessive pressures on local VAC.	Assessor to follow legislation regarding the lodging of invalid proposals. Monitor closely the ground on any proposal submitted. Assessor to make proposals to the Board, where necessary, to alleviate pressures on staff. Review number of proposals received since the changes to payments and make budget provision for increased workloads. Engagement with Government to access additional funding if required to implement changes. Review of KPI's if changes impact on current stretched resources.	4x3 =12	9	3x3 =9	Helen McPhee AVJB	Risk Rating > than tolerability Rating – Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
23b	Legislation and Governance	Review of Non-Domestic Rates	<p>Inability to meet internal and external KPI's.</p> <p>Resources stretched – excessive pressures on staff.</p> <p>Loss of the Assessor.</p>	<p>Engagement with Government to access additional funding if required to implement changes.</p> <p>Consult and reply to the review body through the SAA.</p> <p>SAA executive engagement with the review body at evidence sessions.</p> <p>Engagement with the professional body, RICS, to influence the professions submission.</p> <p>Structure review if necessary once the review has been published.</p>	3x3 =9	9	3x3 =9	Helen McPhee AVJB	Every 6 months	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>
24	Corporate Governance	The Workforce Plan which considers financial planning, information technology, partnership working, organisational development and performance fails to be recognised as a key strategic document leading to its recommendations not being implemented.	<p>There is the risk the Board does not receive the required financial, staff and IT resources to meet the requirements of the workforce plan.</p>	<p>Ensure regular contact and updates are maintained with Elected Members and the treasurer.</p> <p>Review WFP at appropriate intervals and present to the Board.</p>	3 x 4 =12	9	2x4 = 8	Helen McPhee AVJB	<p>Risk Rating > than tolerability Rating –</p> <p>Monthly at the CGF and bimonthly at the MTM.</p>	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
25	Corporate Governance	Maintenance of standards of conduct and the provision and detection of corruption	Loss of income to each of the three Councils as a result of corruption or fraud.	<p>Ensure regular contact with the Treasurer, Audit Scotland and the internal audit teams of each of the three Councils.</p> <p>Continue to report openly and honestly with Elected Members.</p> <p>Continue to adhere to all relevant and appropriate audit guidelines and regulations including participation in the National Fraud Initiative.</p>	2x4 =8	9	2x4 =8	Helen McPhee AVJB	Annually	Annually September 2018
26	Performance	Error leading to an elector losing his or her vote (complaint after last date for amending clerical errors has passed)	<p>Full enquiry, involving AVJB's complaints procedure, perhaps as far as Scottish Public Services Ombudsman.</p> <p>Possible involvement of elected representatives</p>	<p>Staff trained to the appropriate level.</p> <p>Changes to legislation have made later amendments possible.</p> <p>Audit procedures in place and must be followed.</p> <p>Any issues reported are monitored to identify particular issues.</p>	2 x 3 = 6	9	2x3 = 6	Harry McCormick AVJB	Annually	Annually September 2018
27	Performance	Key Performance Indicators (K.P.I.) External and Internal.	<p>Review these annually to ensure an acceptable level of service to all stakeholders.</p> <p>Review external KPI's in conjunction with internal KPI's to ensure an acceptable level of service across all Joint Board functions.</p>	<p>KPI targets to remain under constant review.</p> <p>Report to the Board on both internal and external KPI's.</p> <p>Public Performance Report published.</p> <p>Share best practice ideas with partners including other Assessors.</p> <p>Holistic approach to service delivery.</p>	3x3 =9	9	2x3 = 6	Helen McPhee AVJB	Every 6 months	Every 6 months March 2018 September 2018

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
28	Financial	Future budgeting pressures as a result of reducing budgets	There is a risk that the Board may not be able to absorb these real term reductions while still meeting key performance targets. Continuous improvement may be difficult/impossible .	Ensure regular contact and updates are maintained with members and the treasurer. Continue to review budgets on a regular basis. Look to introduce efficiencies without affecting service delivery and staff morale. Consideration given to the reduction of the current KPIs.	4x4 =16	9	2x4 = 8	Helen McPhee AVJB	Risk Rating > than tolerability Rating – Monthly at the CGF and bimonthly at the MTM.	Every 6 months March 2018 September 2018
29	Financial	The Board is currently being funded by the use of reserves	There is a risk the Board is utilising reserves to maintain its budget levels. Failure to deliver over 3 core functions. Concentration on statutory duties. Other duties fall behind. Stakeholder dissatisfaction with service delivery.	Regular monitoring and liaison with the Treasurer to ensure appropriate funding is available after reserves have reached a level where the Board would not want to go below. Ring fence resources to ensure modernisation and transformation. Secure capital funding for capital projects.	3x3 = 9	9	2x3 = 6	Helen McPhee AVJB	Every 6 months	Every 6 months March 2018 September 2018

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30	Financial	Under funding of IER	The Board are currently directly funded by the Cabinet Office for IER. The planned stoppage of this funding is currently 2020. Funding beyond this point is as yet unknown. This will have a major effect on budget and service delivery.	<p>Through the SAA meet with the CO to discuss funding levels etc.</p> <p>Through the SAA meet with other ERO's to share best practice etc.</p> <p>Monitor budget spending on IER overtime to estimate requirements going forward. UA's receive additional funding directly, ensure this is 'ring fenced' for the ERO.</p> <p>New EMS additional functionality monitored and any cost savings directed to where needed.</p> <p>Petition for changes in the legislation through the SAA to reduce costs - data matching prior to canvass; emailing of forms etc.</p>	4x4 = 16	9	3x3 =9	Helen McPhee AVJB	<p>Risk Rating > than tolerability Rating –</p> <p>Monthly at the CGF and bimonthly at the MTM.</p>	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>

Risk No.	Service	Potential Risk	Potential Effects	Control Measures	Risk Rating	Tolerability	Target Rating	Risk Owner	CGF and or MTM Review Date	Report to the Joint Board Meeting
30a	Financial	Underfunding of AVJB	<p>Substantial drop in KPI's.</p> <p>Customer dissatisfaction with the services provided.</p> <p>Staff dissatisfied with the service they can provide.</p> <p>Concentrate on Assessors & EROs statutory duties – other functions may fall below stakeholders expectations.</p>	<p>Look at different way to fund AVJB.</p> <p>Review currently property, options including rationalisation of the space AVJB currently occupy, eg remain in current property but occupy less space and offer vacant space to let on the open market; move to new premises but let considerable less space.</p> <p>Spend to save – scan all files/documents to reduce space requirements.</p> <p>Seek a capital budget for capital projects to utilise reserves for revenue expenditure.</p>	3x4 = 12	9	3x3 =9	Helen McPhee AVJB	<p>Risk Rating > than tolerability Rating –</p> <p>Monthly at the CGF and bimonthly at the MTM.</p>	<p>Every 6 months</p> <p>March 2018</p> <p>September 2018</p>