

## **Item: 9**

**Orkney and Shetland Valuation Joint Board: 14 December 2023.**

**Risk Register.**

**Report by Assessor and Electoral Registration Officer.**

### **1. Purpose of Report**

To present to the Board the Risk Register to ensure operations in relation to the Orkney and Shetland Valuation Joint Board's functions can operate effectively under all assessable and identifiable risks.

### **2. Recommendations**

The Valuation Joint Board is requested to scrutinise the Risk Register and discuss any issues identified.

### **3. Background**

On 14 January 2015, the Board requested a Risk Register be prepared and presented to the meeting to be held on 27 February 2015. The Risk Register was last reviewed by the Board on 8 December 2022. The existing Register is comprehensive and has only been subject to some minor amendments at this latest review, the most notable being amended at section 4.9 and under the Issues Register contained at the end of the Risk Register, in relation to the vacant Depute Assessor post.

### **4. Introduction**

The statutory duties of the Assessor and Electoral Registration Officer are to prepare, maintain and publish the Valuation Roll; prepare and maintain and publish the Council Tax Valuation List and prepare and maintain and publish the Register of Electors. This Risk Register, attached as Appendix 1 to this report, describes how the duties will be or are maintained under the identified risks.

### **5. Risk Register**

#### **5.1.**

The attached Risk Register highlights the identified risks and procedures to follow under the following headings:

- Premises.
- Finance.
- Information Technology (IT).
- Staffing (Valuation Service).

- Service.
- Electoral Registration:
  - Planning and Organisation.
  - Loss of Premises.
  - Failure of IT.
  - Communication.
  - Failure on the part of Contractors.
  - Integrity Issues.
  - Staffing (Electoral Registration).
  - Completeness and Accuracy of Records.

## 5.2.

The traffic light system has been reflected throughout the Risk Register along with reference to Corporate Risks and Operational Risks for clarity.

## 5.3. 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).

### 5.3.1.

The risk owner will need to make an assessment as to whether the **control** measures are:

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

### 5.3.2.

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.

## 5.4.

The local Business Continuity Plan for Orkney and Shetland offices detail locally what procedures will be followed under each identifiable risk.

## 6. Link to Board Plan

The matters referred to in this report contribute to the Board's strategic objectives detailed in the Corporate Plan 2023-2026.

## **7. Financial Implications**

There are no financial implication arising directly from this report. Any costs arising from the implementation of the risk mitigation actions would normally be met from approved budget allocations.

## **8. Governance Aspects**

The content and implications of this report have been reviewed and, at this stage, it is deemed that the Board **DOES NOT** require external legal advice in consideration of the recommendations of this report.

## **9. Contact Officer**

Robert Eunson, Assessor and Electoral Registration Officer, Email  
[Robert.eunson@orkney.gov.uk](mailto:Robert.eunson@orkney.gov.uk)

## **10. Appendix**

Appendix 1: Risk Register.



ORKNEY AND SHETLAND VALUATION JOINT BOARD



# RISK REGISTER

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact	INHERENT RATING	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>1</b>	<b>PREMISES</b>											
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	Board to find alternative accommodation through each Island Authority	Assessor	Annual
		Loss of Tenure	Unable to fulfill statutory duties.	1	3	3	Ensure compliance with lease terms.	3	1	As above	Assessor	
1.2	Total loss of access to/use of building	Due to: Fire, Flood, Structural Damage Vandalism/Civil Unrest, Power Failure, Heating Failure, Water Supply Failure	Unable to fulfill statutory duties. Loss of records.	1	3	3	The Board has a detailed Business Continuity and Disaster Recovery Plan. Ensure inventories are kept up to date.	3	1	Periodic testing of various scenarios and possibility of home working.	Depute Assessor to liaise with Assessor	Annual
1.3	Unable to meet Disabled Access requirements Shetland Office	Inadequate disabled access to building.	Disabled stakeholders unable to access building.	3	1	3	Provision of alternative meeting place at Shetland Islands Council HQ Building North Ness Business Park.	3	1	Periodic review whether or not 20 Commercial Road Lerwick is "fit for purpose" in the longer term.	Assessor / Depute Assessor / Shetland Islands Council Estates / O & S VJB	Annual

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact Inherent	Mitigation / current controls	Control Score Residual rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>2</b>	<b>FINANCE</b>									
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	Budgetary process should insure adequate funding. Three year structured budgetary process provides adequate control. Close contact with Board Treasurer and constituent Authorities Finances Directors.	3 1 Monitor draft legislation for likely budgetary consequences.  Continued dialogue with Scottish Government through SAA.  Liaise with SAA Portal Management Committee regarding future costs associated with Portal Upgrades.	Assessor & ERO / Depute Assessor	Annual
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.	3	2	6	Budget expenditure is regularly monitored. Reports provided to Board to highlight likely overspends. Immediate contact with the Treasurer and Board if necessary. Board approval required for extra funding requirements. Possible reallocation of budget underspend elsewhere.	2 3 Review current budget and consider whether any underspend in other areas could balance increased costs.	Assessor & ERO / Treasurer	

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
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 by monitoring monthly transaction updates, 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)	
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)	
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.  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.	
<b>3</b>	<b>IT</b>											
3.1	Failure of third party system providers e.g. Electoral Management System Providers	Bankruptcy or could no longer provide service.	Other provider of similar service would be required. Others systems are available on the market along with other EROs own systems.	1	3	3	Contractual agreements are in place including hardware maintenance and replacement through EMS license and robust back-up procedures are in place through SLAs. Site specific backups of the main services are carried out and stored off-site.	3	1	Maintain awareness of alternative providers of these services.	Assessor & IT Development Manager	

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
3.2	Malicious damage to systems	Office break-in. Hacking, viruses.	Equipment may be required to be replaced.	1	2	2	Back-up procedures are in place. Spare hardware located in each IT Services office. Refer to IT Business Continuity Plan.	3	1		IT Development Manager	
3.3	Attempted breach of security	Hacking, viruses.	Systems could cease to operate.	3	2	6	Firewall and Anti-Virus software in place. Systems are password protected. Staff guidelines are in place. Additional PSN security requirements in place. <a href="#">SIC Security Policy</a>	3	2	Periodic testing. Consideration of external providers of security software.	IT Development Manager	
3.4	Failure of back-up procedures	Faulty tape drive/ media/ communication lines.	Work carried out on the failed date could be lost if systems malfunction.	1	3	3	All data is backed up in by each Council in accordance with each SLA by each Council's IT Service. Back-ups procedures follow each constituent Council's corporate policies on Electronic back-up and security.	3	1	Identify off site back-up facilities. Hard copies of all records still held in event of system failure	Assessor / ICT Manager	
3.5	Failure of internal applications	Poor coding or Network failure.	Information could not be stored on systems.	1	3	3	As Above	3	1	As Above	Assessor / ICT Manager	
3.6	Major internal system failure	Network failure.	Nothing can be processed.	1	3	3	As Above	3	1	As Above	Assessor / ICT Manager	



**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
3.7	Theft of equipment	Office break-in.	Replacement equipment/ furniture.	2	2	4	Inventories of all IT equipment are maintained by each Authority's IT Services. A full <a href="#">Asset Register</a> of all the Board's equipment and furniture is maintained in each area. Each office has separate arrangements for office security including intruder alarms.	3	1		ICT Development Manager for IT equipment & Assessor/ Depute Assessor for all other equipment	Annual
3.8	Inappropriate use of Internet/E-mail 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		Assessor/ Depute Assessor & ICT Development Manager to identify inappropriate use	
3.9.	Failure of hardware	Old/faulty equipment.	System down until faulty hardware fixed or replaced under SLAs.	2	2	4	Maintenance contracts are in place through SLAs. Hardware is replaced according to terms of each SLA	3		Check that priority is given to key equipment.	ICT Development Manager	As detailed in SLAs

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion / Review Date
<b>4 STAFFING (VALUATION SERVICE)</b>												
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	Skills audit of staff to ensure knowledge of key activities exists.	Assessor & Depute Assessor to have overview for any issues	
4.2	Widespread or epidemic/pandemic illness	Cross contamination. Poor hygiene.	As above.	1	2	2	Absence levels are monitored closely which may provide advance warning of a problem. Overtime working would be available to supplement reduced staffing levels. Media and local Health Board warnings monitored. Follow Scottish Government guidance.	3	1	Provide written instructions for all key activities. Staff undertaking remote working where possible. Undertake Individual and premises Risk Assessments.	Assessor & Depute Assessor to have overview for local issues	
4.3	Loss of key members of Professional staff through resignation, retirement, illness	Possibility of disproportionate number of key staff nearing retirement age.	As above. May have an impact on a specific service, a single area or the services of the Board as a whole.	2	3	6	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.	2	3	Consider the possibility of remote working. Engage in short-term measures such as extra hours for part-time staff to cover urgent survey work with Senior Staff responsible for signing off. VJB procured a Consultant to cover service needs.	Assessor/ Depute Assessor to overview & raise with Orkney and Shetland VJB	March 2024 in tandem with 4.9
4.4	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 13 Scottish Assessors or other sources.	3	1	Check age profiles of staff- eg a number of staff may reach retirement age within a short timescale.	Assessor/ to overview & raise with Orkney and Shetland VJB	

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>4</b>	<b>STAFFING (VALUATION SERVICE) (cont'd)</b>											
4.5	Inability to Recruit or retain Professional staff.	Unattractive employment terms. Lack of qualified staff in market place.	Insufficient number of staff to carry out full statutory duties.	3	3	9	Recruitment strategies; Career structure/progression. Favourable terms and conditions. Job redesign; Established Career Graded Valuer post in each Island area from February 2017.	2	4.5	Application of market forces supplement to try to attract suitable candidates. Creative marketing, job re-design and career grading are also options. Consider stand-alone Pay & Grading model	Assessor/ Depute Assessor to overview & raise with Orkney and Shetland VJB	
4.6	Travel disruption preventing staff getting to base	Bad weather conditions, flight or other travel disruptions.	Loss of key members of staff	2	3	6	Staff work at home or at other premises or organisations	3	2	As short term, if necessary (long term impact less likely)	Assessor/ Depute Assessor	
4.7	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	
4.8	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.	Assessor & OIC/SIC Health & Safety Officers	
4.9	Loss of Assessor & ERO prior appointment of vacant senior posts.	Resignation, retirement or illness.	Insufficient number of key senior staff to carry out full statutory duties.	2	3	6	Depute ERO has full deputising Electoral powers to discharge statutory function. Procurement of services of temporary Consultant Valuer to assist Assessor & ERO.	2	3	Recruitment/advertising of Depute Assessor post expedited.	Orkney & Shetland VJB	January 2024 onwards

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

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<b>5</b>	<b>SERVICE</b>											
5.1	<b>Legislative Changes Affecting: Statutory Authority</b>	Uncertainty as to legislative intent of future government eg current approach to Council Tax. Barclay Review of Non-Domestic Rating	Inability to plan with certainty. Insufficient valuation staff & resources to carry out statutory duties	2	2	4	Maintain contacts with Scottish Government, Electoral Commission, AEA and SAA. Adequate lead-in times usually apply. Personnel advice obtained from Orkney Islands Council.	3	1	Reviewed staffing & resources once recommendations from the Barclay Review were fully adopted/proposed by Scottish Government	Assessor/ Depute Assessor to overview & raise with Orkney and Shetland VJB	August 2019 to 2024
	Personnel	As above.	As above.	2	2	4	As above.	3	1		Assessor	
	Board Policies	As above.	As above.	1	2	2	As above.	3	1		Assessor	
5.2	<b>Failure of Information Provision: Council Tax: Buildings Warrants</b>	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.	3	1	Specify the acceptable periods of time that we can afford to be without information from the various sources	Assessor & Depute Assessor	
	Planning Permissions	As above.	As above.	1	1	1	As above.	3	1	As above.	Assessor & Depute Assessor	
	Land Register	As above.	As above.	1	2	2	As above.	3	1	As above.	Assessor & Depute Assessor	
	Revenues	As above.	As above.	1	2	2	As above.	3	1	As above.	Assessor & Depute Assessor	

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>5</b>	<b>SERVICE (cont'd)</b>											
5.2	<b>Failure of Information Provision: Non Domestic Rating: Buildings Warrants</b>	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.	3	1	Specify the acceptable periods of time that we can afford to be without information from the various sources	Assessor & Depute Assessor	
	Planning Permissions	As above.	As above.	1	2	2	As above.	3	1	As above.	Assessor & Depute Assessor	
	Land Register	As above.	As above.	1	3	3	As above.	3	1	As above.	Assessor & Depute Assessor	
	Stakeholders eg 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		Assessor & Depute Assessor	
	Electoral Registration (See Section 6)											

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

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<b>5</b>	<b>SERVICE (cont'd)</b>											
5.2	<b>Failure of Support Service Provision:</b> 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 eg use of mobile phones, alternative courier services, e-mail. Refer to Business Continuity Plans.	3	1		Assessor/ Depute Assessor/ (Finance) for funding and resources	
	Telephone	As above.	As above.	1	2	2	As above.	3	1	Update Office Website & notify SAA of alternative means of communications. Notify general public on local radio and local press of alternative arrangements.	As above	
	Electricity	As above.	As above.	1	2	2	As above.	3	1		As above	
	Heating	As above.	As above.	1	2	2	As above.	3	1		As above.	
	IT	As above.	As above.	1	2	2	As above.	3	1		Assessor/ Depute Assessor & IT	
	Postal Service	As above.	As above.	1	2	2	As above.	3	1		Assessor/ Depute Assessor	
	Legal Services	As above.	As above.	1	2	2	As above.	3	1		Assessor/ Depute Assessor	
	Personnel	As above.	As above.	1	2	2	As above.	3	1		Assessor/ Depute Assessor	
	Payroll	As above.	As above.	1	2	2	As above.	3	1		Assessor/ Finance/ Personnel	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>5</b>	<b>SERVICE (cont'd)</b>											
5.3	<b>Partnership/ Stakeholders</b> Constituent Council's Finance Departments	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		Assessor/ Depute Assessor	
	Orkney Islands Council's Support Services	As above.	As above.	1	2	2	As above.	3	1		Assessor/ Depute Assessor	
	Returning Officer/ Depute Returning Officer	As above.	As above.	1	2	2	As above.	3	1		Assessor & ERO / Depute ERO	
	Scottish Assessors' Association	As above.	As above.	1	1	1	As above.	3	1		Assessor	
	Valuation Office Agency	As above.	As above.	1	1	1	As above.	3	1		Assessor	
	Electoral Commission	As above.	As above.	1	2	2	As above.	3	1		Assessor & ERO / Depute ERO	
	Scottish Government	As above.	As above.	1	1	1	As above.	3	1		Assessor	

**ORKNEY AND SHETLAND VALUATION JOINT BOARD  
ELECTORAL REGISTRATION**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>1</b>	<b>PLANNING AND ORGANISATION (ELECTORAL REGISTRATION)</b>											
1.1	Failure to ensure proper plans are in place to undertake statutory duties.	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	<p>Project plans are maintained, reviewed and updated regularly to ensure that all necessary activities are planned and sufficient resources are available when required.</p> <p>Electoral Registration Working Group (ERWG) meets regularly to consider all requirements and activities, including plans and objectives; evaluation of past activity; performance standards; and training needs.</p> <p>Strategies and timetables are in place for meeting all duties and for delivering an accurate and comprehensive register.</p> <p>The impact of new legislation on existing plans and procedures is considered as required and is communicated to all relevant staff.</p> <p>Ongoing liaison with Returning Officer staff; suppliers of electoral registration software; and suppliers of printing services.</p> <p>Liaison with other EROs through SAA ER Committee.</p> <p>Liaison with Cabinet Office and Electoral Commission.</p>	3	1		Assessor & ERO / Depute ERO	Ongoing review of activities



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<b>1</b>	<b>PLANNING AND ORGANISATION (ELECTORAL REGISTRATION) (cont'd)</b>											
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		Assessor & ERO / Depute ERO	
1.3	Insufficient resources	Insufficient budget allocated.  Unexpected expenditure.	Unable to meet statutory responsibilities	1	3	3	<p>Projected costs to meet all activities are identified early in the planning process</p> <p>Robust budgetary processes ensure adequate funding.</p> <p>Close contact with Board Treasurer and constituent Authorities.</p> <p>Budget approved by the Board annually takes account of all planned activities.</p> <p>Consideration is given to changes or potential in costs: e.g. postage costs.</p> <p>Costs arising from additional duties, e.g. the introduction of Individual Electoral Registration may be recovered from other sources, e.g. Cabinet Office.</p>	3	1		Assessor & ERO / Depute ERO to overview & raise with Orkney and Shetland VJB	

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<b>2</b>	<b>LOSS OF PREMISES (ELECTORAL REGISTRATION)</b>											
2.1	Loss of Electoral Registration office	Office affected by fire, flood, loss of power, etc.	Unable to process applications and data.  Loss of data.	1	3	3	<p>The Board has a detailed Business Continuity Plan and each constituent authority's IT Services has a Disaster Recovery Plan and associated Risk Registers, which take account of potential loss of buildings.</p> <p>The Business Continuity Plan and IT Disaster Recovery Plan are tested and reviewed regularly.</p> <p>Daily backups of data are taken in each area as part of the SLA in each Island Area to ensure secure off-site storage. Additional back-ups are taken</p>	3	1		Assessor/ Depute Assessor / Depute ERO	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>3 FAILURE OF IT PROVISION (ELECTORAL REGISTRATION)</b>												
3.1	Loss of IT capability	System, network or hardware failure	<p>Unable to process forms by the required deadlines</p> <p>Need to carry out processes manually.</p>	1	3	3	<p>A detailed IT Disaster Recovery Plan is in place in each office.</p> <p>In-house IT Manager and staff provide immediate assistance.</p> <p>Robust backup procedures are in place. The data can be reloaded onto servers in each office through each Island authority's IT services, where fully configured backup facilities are available.</p> <p>Spare hardware located in each IT Services offices through SLAs.</p> <p>Contractual arrangements and system maintenance agreements are in place.</p> <p>Telephones and local area networked workstations will be available in the Operational Base.</p> <p>Firewall and Anti-Virus software in place.</p> <p>All systems are password protected and staff guidelines are in place.</p>	3	1		Assessor & ERO / Depute ERO / ICT Development Manager	Arrangements reviewed annually

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<b>4 COMMUNICATION (ELECTORAL REGISTRATION)</b>												
4.1	Registration applications and enquiries unable to reach electoral staff	Telecom/Fax/IT failure  Large volume of calls during the canvass period or in the lead up to an election	Lack of information  Voters unable to register or to vote by chosen method (i.e. postal or proxy)  Wrong advice given	1	3	3	Refer to Business Continuity Plan and IT Disaster Recovery Plan.  Maintain work plan specifying roles and responsibilities.  Maintain agreements and contracts with suppliers.  Be aware of alternative providers e.g. use of mobile phones, email and alternative courier services. Record staff mobile telephone numbers.  Arrangements can be made to facilitate staff travelling to any alternative location within each Island area.  Queries can be dealt with at either of the Boards 2 offices although there is currently no shared server and database. This is being considered for a later date if funding is available  Frontline staff are provided with a note of frequently asked questions. Complex enquiries are referred to core registration staff.	3	1		Assessor & ERO / Depute ERO in conjunction with the ICT Development Manager	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion / Review Date
<b>4</b>	<b>COMMUNICATION (ELECTORAL REGISTRATION) (cont'd)</b>											
							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.					
4.2	Registration forms/postal vote applications do not reach office before the deadlines	Telecom/fax/IT failure  Wrong advice given  Lack of information	Voter confusion  Voters unable to register or to vote by chosen method (i.e. postal or proxy)	2	3	6	Public awareness strategy to make provision for communication of key information, including deadlines.  Registration forms can be downloaded from O&SVJB website or from gov.uk.  Forms can be delivered or faxed to an alternative office for onward transmission.  Alternative offices of the Board can be used to update records.  Notices can be posted on O&SVJB 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.	3	2		Assessor & ERO / Depute ERO	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>4 COMMUNICATION (ELECTORAL REGISTRATION) (cont'd)</b>												
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	<p>Information and registration forms are available on the TVJB website and at <a href="http://aboutmyvote.co.uk">aboutmyvote.co.uk</a></p> <p>Forms are available in large print.</p> <p>O&amp;SVJB mainstreaming equalities report and equalities outcomes published in accordance with specific duties of the Equality Act 2010.</p> <p>Staff training and advice provided in equalities duties.</p> <p>Contacts made with minority groups and disabled/visually impaired/mentally impaired electors as per Publicity Campaign plan.</p>	3	1		Assessor & ERO / Depute ERO	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>5 FAILURE ON THE PART OF CONTRACTORS (ELECTORAL REGISTRATION)</b>												
5.1	Non/late delivery and return of Route 2 Enquiry forms and Invitations to Register	<p>Missed printing deadlines or non-completion</p> <p>Printing errors</p> <p>Postal strike</p> <p>Software supplier ceases to trade</p>	Households do not receive annual canvass form and do not register	2	3	6	<p>Tender process for producing and posting Individual Electoral Registration (IER) forms commenced in March 2014.</p> <p>IER forms designed by Electoral Commission and ERO to add contact information.</p> <p>A list of external providers is maintained in Business Continuity Plan.</p> <p>Use alternative service providers.</p> <p>Use another service provider if Royal Mail is unable to deliver forms.</p>	2	3	Check contractor's business continuity arrangements	Assessor & ERO / Depute ERO	annually in May/June

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>6 INTEGRITY ISSUES (ELECTORAL REGISTRATION)</b>												
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	<p>Validation and Authorisation Fraud procedures are in place.</p> <p>Members of staff with responsibility for processing forms and checking data are briefed to look out for irregular registration patterns and are made aware of advice from the Electoral Commission. Staff made aware of trigger points for referrals to Police Single Point of Contact (SPOC). Police SPOC contact details kept up to date. Meeting with Police SPOC, Electoral Registration Officer and Returning Officers.</p> <p>Arrangements in place to support 100% postal vote identifier verification – all scanned and data provided to Returning Officers, as required for election deadlines.</p>	3	2		Assessor & ERO / Depute ERO	



Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>6 INTEGRITY ISSUES (ELECTORAL REGISTRATION) (cont'd)</b>												
6.2	Unauthorised access to electoral register/ application forms and data	Lack of security	Breach of confidentiality	2	3	6	<p>All forms are scanned and then held in secure storage for time required by law.</p> <p>All buildings are locked out with normal working hours.</p> <p>Computer server rooms are in the control of each Council IT Department and kept locked.</p> <p>Firewall and Anti-Virus software in place.</p> <p>All systems are password protected and staff guidelines are in place.</p> <p>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.</p>	3	2		Assessor & ERO / Depute ERO	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion / Review Date
<b>6 INTEGRITY ISSUES (ELECTORAL REGISTRATION) (cont'd)</b>												
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	<p>Staff to be made aware again of data protection and consequences of misuse of information</p> <p>Staff to personally monitor visitors to ensure no unauthorised copying of register.</p> <p>Advice also given to other recipients of the register regarding statutory provisions on access and use.</p>	3	1		Assessor & ERO / Depute ERO	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>7</b>	<b>STAFFING (ELECTORAL REGISTRATION)</b>											
7.1	Loss of staff	Sickness  Outbreak of pandemic or other contagious illness affecting staff	Insufficient number of staff to cover processes  Unable to carry out house-to-house enquiries as required by law	2	3	6	<p>The Business Continuity Plan contains detailed contingency plans and instructions for all key activities.</p> <p>Monitor annual leave requests and allow for sufficient cover at peak periods.</p> <p>Consider secondment from other ER Offices or from Council election related staff.</p> <p>Advice and assistance can be provided from experienced staff in other Electoral Registration offices in Scotland.</p> <p>Temporary canvassers' contracts may be extended.</p> <p>Roll out the IT capability of all staff to undertake remote or home working.</p> <p>Minor, short-term or intermittent disruption can be absorbed by utilising existing resources and Flexi time working.</p> <p>If a major or long term disruption, reallocation of work to other staff or employ agency staff.</p> <p>Media and local Health Board warnings monitored.</p>	2	3	<p>Follow Scottish Government guidance on pandemic.</p> <p>Undertake Individual and premises Risk Assessments.</p> <p>Carry our alternative household contact methods such as email and telephone canvassing.</p>	Assessor & ERO / Depute ERO	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion/ Review Date
<b>7 STAFFING (ELECTORAL REGISTRATION) (cont'd)</b>												
7.2	Unable to appoint sufficient staff	Insufficient/non-provision of resources  Difficulty in recruiting suitable staff	Insufficient staff to cover processes  Unable to carry out house-to-house enquiries as required by law	2	3	6	Electoral Registration staff structure already in place to cover the service duties.  Vacancies are filled at the earliest possible time.  Temporary staff requirements identified as part of the Canvass Plan and any staff not normally employed in electoral registration work will be provided with training.	2	3		Assessor & ERO / Depute ERO to overview & raise with Orkney and Shetland VJB	
7.3	Insufficient support staff appointed	No detailed assessment of staffing requirements	Inability/ difficulty in meeting deadlines  Mistakes by overworked staff	1	3	3	Map out staffing requirements at an early stage in the project planning process.  Monitor progress of the canvass by checking reports.  Review staff comments and make plans for further training, if necessary.  Administrative Assistants monitor the work of their staff.  Consider need to appoint temporary support staff to assist the core team at different points of the process.	3	1		Assessor & ERO / Depute ERO to overview & raise with Orkney and Shetland VJB	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion / Review Date
<b>7 STAFFING (ELECTORAL REGISTRATION) (cont'd)</b>												
7.4	Mistakes by inexperienced staff or by staff not fully aware of legislation/ procedure	Inadequate/lack of training	Errors processing registration forms and/or absent vote applications  Failure to register electors	1	3	3	<p>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.</p> <p>Create work plan to include roles and responsibilities.</p> <p>Use training and support materials to ensure clarity and understanding of these (refer to ER system/clerical manual).</p> <p>Ensure timetables for rolling registration and annual canvass are distributed to staff.</p> <p>Ensure roles are clear in Job Descriptions.</p> <p>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.</p> <p>Admin Assistants monitor quality of work of staff.</p> <p>Ensure a robust quality checking process before publication of register.</p>	3	1		Assessor & ERO / Depute ERO	

**ORKNEY AND SHETLAND VALUATION JOINT BOARD**

**RISK REGISTER**

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion / Review Date
<b>7 STAFFING (ELECTORAL REGISTRATION) (cont'd)</b>												
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.  Risk assessments to be undertaken when allocating canvassers areas.	3	2		Assessor & ERO / Depute ERO	

Number	Risk	Cause	Impact	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer / Owner of Risk	Completion / Review Date
<b>8</b>	<b>COMPLETENESS AND ACCURACY OF RECORDS (ELECTORAL REGISTRATION)</b>											
8.1	Low response to annual canvass	Households do not return canvass form  Persons within a property do not answer the door  Properties not accessible to canvassers	Incomplete and/or inaccurate register	2	2	4	Robust Annual Canvass publicity plan has been produced. Telephone canvass and data match plan for Council Tax records for both areas for non responding households. Use statutory review process for electors to improve accuracy of register. Business Support staff to run daily report for non responders & check returned mail. Business Support staff to liaise with nursing homes and houses in multiple occupation to have residents complete canvass forms. Staff to monitor when they have received their own canvass forms in case of late delivery.  Canvassers to record on forms date/time attempted to call.  Use existing staff to complete canvass visits should a canvasser fail to complete allocated workload.  Follow-up by telephone and email, where appropriate.	2	2	Consider additional publicity measures if poor response to canvass.  Consider existing work allocation; postage costs; timing to determine impact of conducting reviews.  Administrative Assistants to monitor progress of canvassers' work.	Assessor & ERO / Depute ERO	

## 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
Seven failed attempts to fill senior post of Depute Assessor in the Shetland Office	Assessor & ERO raised with O & S Valuation Joint Board through Board meetings & Working Group meetings	04/05/2015	3	Valuation Joint Board to re-advertise Depute Assessor’s post. Retention of temporary Consultant Valuer hired services. Consider stand-alone Pay & Grading model.	Assessor / O & S Valuation Joint Board	Potential recruitment options under consideration (April 2018 onwards)	Closed effective from 22/11/2021 on appointment of Depute Assessor.
One unsuccessful recruitment exercise to fill post of Assessor & ERO	Assessor & ERO notified O & S Valuation Joint Board of retirement.	06/04/2021	3	Valuation Joint Board to re-advertise Assessor & ERO post.	O & S Valuation Joint Board and both Local Authorities	Further recruitment options in action. (Feb/March 2022)	Closed effective from 16/05/2022 on appointment of Assessor & ERO.
Two failed attempts to fill senior post of Depute Assessor	Assessor & ERO raised with O & S Valuation Joint Board through Board meetings	March 2023	3	Valuation Joint Board to re-advertise Depute Assessor’s post in early 2024. Procurement of temporary Consultant to assist Assessor & ERO.	Assessor / O & S Valuation Joint Board	Potential recruitment options under consideration (January 2024 onwards)	Open



## Defining the level of impact and likelihood of risk

The risk register identifies the various activities carried out by the Orkney and Shetland 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 than 10% 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 materialise?

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:

<b>IMPACT</b>	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
	<b>LIKELIHOOD</b>			

**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 Orkney and Shetland 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.

Lead Officer / Ownership of Risk determines if the risk is an Operational risk or a Corporate risk in nature. Operational risks are managed by appointed officers of the Board while Corporate risks would require input or management by members of the Orkney & Shetland Valuation Joint Board. Where members of the Orkney & Shetland Valuation Joint Board are involved in the management of any risk or require take ownership of any risk it will be shown in this column.

Where the Completion/Review Date is blank this reflects that the Risk is being continually monitored and assessed.