

## RISK MANAGEMENT - ACTION LIST 2013

This Action List contains risks where actions have been identified for consideration in 2013 or where significant actions remained outstanding from before. To allow actions to be prioritised, Risks with low residual risk scores and/or few/no specific actions have been omitted.

Risk No	Risk Description	Resid Risk	Actions	Resp Person	Target Date	Progress
5	The current economic climate brings a number of related financial risks, including increased expenditure, static or reduced incomes etc. these are now consolidated in one financial risk as the controls and actions are so integrated as to be considered together.	3	<p>Legal advice if necessary. Continue to closely monitor budget spend and cost of various processes.</p> <p>Continue to include inflationary uplift in budget process where appropriate.</p> <p>Implement further structural changes as required.</p> <p>Continue to consider each budget line for cut in budgetary planning.</p> <p>Planned delays in recruitment and retention of vacancies where necessary</p>	<p>Ass'r/ PAO</p> <p>Ass'r</p> <p>Ass'r</p> <p>Ass'r</p> <p>Ass'r</p>	<p>Ongoing</p> <p>Annually</p> <p>As req'd</p> <p>Annually</p> <p>As arising</p>	<p>Included where appropriate for 2013/14 budget</p> <p>Thorough consideration given for 2013/14</p> <p>The 2013.14 budget was approved by the Board on 16.11.12 along with indicative budgets for following years. Accrued surplus to be used to offset expenditure in forthcoming years. Contingency fund and rules for use also established.</p>
6	<p>Effects of new (Electoral Registration) legislation (on budget)</p> <p>Government announcement to implement Individual Electoral Registration in 2014 defers the immediate risks to operations and finances but the VJB will need to start planning for the changes from 2013.</p>	1	<p>Seek additional funding to cover increased costs. Seek direct external/grant funding but Board requisition if necessary.</p> <p>Continue to report progress and effects to board in run up to the change-over.</p> <p>Take part in Cabinet Office cost modelling exercises.</p> <p>Start to plan resources and processes required for the changeover.</p>	<p>Ass'r</p> <p>Ass'r /PAO</p> <p>Ass'r /PAO</p> <p>Ass'r /PAO</p>	<p>As required</p> <p>At Board meetings</p> <p>Ongoing</p> <p>As required</p>	<p>Cabinet Office has indicated that it will finance the extra costs of transition. Extent of support and mechanism for payment yet to be agreed. Further funding info provided in Jan 2013 but details not yet available.</p> <p>Further meeting with CO took 22<sup>nd</sup> February 2013</p> <p>Can proceed only when the proposals have been confirmed. JN to represent Scottish Halarose users in their IER Development User Group.</p>

7	Ward boundary changes (Future changes to be provided only in electronic format)  Westminster Review delayed until 2018	3	Training in GIS required for future.  Liaise with other EROs/Councils/ROs  Expand GGP/GIS training to include admin/clerical staff  Provide such data to Boundary Commission as is requested.	Depute/ PAO PAO  Depute  ERO/ PAO	As required As required As required  Ongoing	
8/10	Hardware failure/becomes obsolete	1/2	Assess need for replacement annually  Update inventory annually and on any new purchase  Consider automation of data exchange for Adest/Images	Depute  Systems Officer  Depute/ WDC	Annually by Nov At least Annually  April 2013	Proposals approved by Board November 2012
9	Software becomes obsolete/ inefficient	3	Purchase replacement versions where appropriate (re cost/benefit)  Continue to develop Progress system in line with operational needs  EROS to be upgraded in/around May 2013 and thereafter to comply with IER requirements	Ass'r/ Depute  VWG/ Analyst  IT Team	As required  As required  By agreem'nt	Beta installation to be used locally for test purposes.
11	Computer virus attack	5	Transfer 'repair/remedy' obligation to WDC.	WDC ICT	Ongoing	Virus protection upgraded regularly
12	Failure of communications between offices  The architecture review (with 2 x Broadband lines to Campbeltown office) in 2012/11 has not provided the resilience that was expected  Risk Increased 2012 in light of recent loss of network connectivity	5	Update lists of home and mobile telephone numbers annually.  WDC ICT and DAB IT Team to complete a review of resilience and make proposals for improvement.  Plan workarounds.	Secretaries  Depute/ Systems Officer  MT	Annually – April  Early 2013/14  Ongoing	Revised emergency lists circulated regularly
14	Loss/corruption of data (to include loss to third parties)	2	Continue with vigilance.  Consider web services distribution of	All  ERO/	Ongoing  By	Halarose have indicated that this may

			registers and updates	PAO	agreemnt	be developed after upgrade to VDF 15 has been completed.
			Symantec Verisign e-mail security to be installed to improve security of data transfers.	Depute	On hold	DP has reported limited usefulness and recommends <b>not</b> implementing at this time.
			New security measures may need to be implemented for IER Data Exchange	IT Team	Spring 2013	CO 'Ping test' has been successfully completed
16	Failure of LAN servers	1	Investigate access to alternative LAN server if one is lost/down	Depute	Spring 2013	Progress?
20	Change to method of financing Local Government resulting in loss of NDR or CT functions  Although the change in Scottish Government in May 2007 significantly increased this risk over previous administrations, the <b>short to medium term</b> risk remains low as Government officials have indicated that the likely timescales for change would be in line with the devolution of other tax matters in 2015/16.	4 (short term)  7 (long term)	Reply to consultation documents and draft legislation, formally and/or informally, via SAA. Maintain high profile with Government and officials.  Promote professionalism and customer satisfaction.	Ass'r  Man Team	As required  Ongoing	NDR Consultation document published 27 <sup>th</sup> November 2012. SAA responded timeously.  See regular reports on Customer Satisfaction provided to MT
23	Build-up/waste of obsolete PCs	1	Action ICT team to move on disposing of obsolete PCs.	IT Team	ASAP	AB reports that action is imminent, March 2013
25	Failure to adequately motivate.  Risk Reviewed in light of completion of PM but arrived at same score.  Risk Reviewed Feb 2013 in light of the end of the salary protection period in April 2013 but arrived at same score.	6	Reconsider the introduction of personal targets/ responsibilities.  Offer promotion opportunities to internal staff where appropriate  Review usefulness of 'Extra Mile' awards scheme  Consider implementation of 'Living Wage'	MT  MT  MT  Assessor	Ongoing  Ongoing  Annually  March 2013	Reconsider the introduction of personal targets/ responsibilities.  Offer promotion opportunities to internal staff where appropriate  Usefulness of 'Extra Mile' awards scheme reviewed in April 2012 – agreed to retain
26	Failure to provide ROs with Election Registers, absent voters, personal identifiers etc (Including National Park and Community Council elections) Note: there are no planned elections	2	Active management of relationship with RO. Maintain adequate test procedures. Ensure adequate testing of all processes in advance of any elections. Provide paper back-up if necessary. Ensure work-arounds in place to avoid	} } } } } PAO }	Ongoing	No planned elections in short term/2013

	(other than Community Council) in 2013/14		loss of connectivity at critical election periods.	} }		
29	Inefficient canvassing Incomplete canvassing.  There are additional uncertainties arising from the move of the canvass period to winter 2013/14 – risk reviewed Feb 2103.	8	Apply government grant to obtain additional canvassers if appropriate.  Plan canvass in accordance with developing requirements  Early contact with existing canvassers re change of timetable	ERO  ERO/PAO  PAO	Autumn 2013  Spring/ Summer 2013	Additional question re availability included in canvasser feedback form for 2012 - complete
30	Bad press reports	6	SAA or Assessor to respond to media articles where appropriate.	Ass'r/ SAA	As req'd/ appropriate	Staff recently reminded to pass all press enquiries to Assessor/Depute
31	Inadequate/lack of training	3	Allocate “in-house” training time.  Sections to ensure that they set-aside time for training in accordance with MT commitment.  Review Personal Development Policy  Provide CPD ‘events’/opportunities for staff	MT  All line Managers  MT  MT <i>et al</i>	As required  Ongoing  March 2013  As required	Reminder issued with April 2012 MTM Bullets  Specific role for Valuation Group?
35	Industrial action  Note: Risk varies at different times of the year. Both likelihood and impact are higher at critical times.	2-9	Formalise relationships with staff representatives.  Continue to address detriment where opportunities arise	Assessor  Assessor	Ongoing  Ongoing	
36	Loss of groups of staff  Risk increased in 2012 due to the likely retirement of several Technicians in the medium term	5	Pro-active resource planning	MT	Ongoing	
37	Loss (including long term illness) of key/senior staff	6	Improve accommodation,  Improve terms and conditions, offer career progression, reward and appreciation. Restrict promotion to internal staff only.	Assessor	Ongoing	3 yr capital plan now complete. Maintenance ongoing  No specific actions at this time. React to opportunities.

			Continue to document procedures and provide staff guidance.  Continue to develop and maintain written instructions, work shadowing and sharing to ensure broadened skills base.  Review Attendance Policy in line with WDC 2013.	All/ IT Team  All  Assessor/ MT	Ongoing  Ongoing  Not Known	WDC Policy Under further review – HR&OD advice is that current policy is adequate – await outcome of WDC review which is not likely to conclude until at least February 2013.
41	Failure to comply with Equalities obligations	1	Implement, requirements of Specific Duties included in Scottish Government's legislative follow-up to Equalities Act. In particular, agree and publish 'Outcomes', develop reporting formats and complete 'Mainstreaming Report'	Depute	30 <sup>th</sup> April 2013	SAA has proposed suitable 'Outcomes' Mainstreaming Report in development.
42	Failure to comply with Freedom of Information legislation	1	Move to Model Publication Scheme  Publish information and data in compliance with MPS requirement	Depute  Depute	By 30 <sup>th</sup> May 2013 By 30 <sup>th</sup> May.	
43	Failure to comply with Health and Safety legislation	1	Training required for new First Aiders during 2013/14	H&S Committees	May 2013	
44	Failure to have relevant and current personnel policies	3-6	Specific action required in respect of Absence Management Policy, Use of Social Media Policy and others	Assessor	Variable	
48	Failure to comply with Rating Valuation legislation	1	Ensure all relevant citations issued	DAs	By 30 <sup>th</sup> June 2013	Be aware of possible review of timetable
49/ 50	Loss of/ damage to buildings including vandalism and natural disaster Loss of/damage to equipment	4	Consider CCTV, night watchman, contracted security patrols. Consider "dummy" CCTV cameras along with relevant signage?  Repair existing, and consider extending, security lighting.	No action (cost)  MT	As budget allows	
51	Water contamination  Note: Risk reviewed Feb 2013 after report received to the effect that	6	Tank to be cleaned and water filter installed	Assessor	March 2013	Instruction given (to WDC) to clean tank and install filter March 2013

	sediment is present in new water tank at Clydebank office		Ensure Legionnella regime followed	Assessor/ H&S Cmmittee	Ongoing	Regular Legionnella tests have resumed
52	Danger to staff  Uncontrolled risk score increased in 2008 as assaults have taken place in recent years.	1	Annual Guidance to canvass staff re personal security.	PAO	Annually pre-cavass	Included in annually provided training/guidance notes. (November 2012) incident referred to police for follow-up.
60	Failure of WDC to provide support services Note service provision has deteriorated markedly due to internal changes at WDC.	6	Consider requirement for Service Level Agreements (including for ICT).  Seek meetings, improvement with relevant service	Assessor  Assessor	June 2013  As req'd	Service Level Agreement being actively considered/developed by Assessor & ERO/Head of Finance in WDC. Target is for approval at June Board meeting
65	Any ongoing effects of, Pay Modernisation  Risk level reviewed in 2011 in light of progress/completion of PM process	3	Maintain communication with unions/staff and WDC Pay Modernisation Team.  Address instances of detriment when opportunities arise.  Consider 'Living Wage'	No action  Assessor  Assessor	  As app'ropriate  April 2013	
66	Presence of asbestos in buildings constitutes hazard to staff	1	Asbestos Register to be updated to take account of works.	H&S Comms	Spring 2013	
67	Overdependence on small number of staff to operate valuation Excel spreadsheets – particularly for Revaluations	3	Continue to provide training as required and identified in PDP reviews. Specific training required in advance of 2017 Revaluation – AB to consider skills transfer.	MT/ Depute	Ongoing to 2017	AB has commenced a review of where need is greatest and is awaiting feedback from valuation staff on what the problems/priorities are
69	Clydebank building beyond economic repair	2	Continue vigilance, consider further capital bids as required/identified	Assessor	Ongoing	
74	Loss of key posts/ Changes to staffing structure (resultant from budget review)	3/5	Ensure efficiencies are met in other budget lines.  Succession planning including training for progression.  Shadow working, skills transfers.	Man Team  Ass'r/ Depute/ Managers All managers	Ongoing  Ongoing  As required	

			Recruit to fill such vacancies as are required/affordable.	Assessor/MT	As required	
75	Failure to clear backlog of domestic survey work	6	Continue to include domestic survey work in general update procedures but implement a specific domestic survey project if satisfactory progress is not made.	DAs	Ongoing	Campbeltown up to date. Progress being made in East section. Specific targets have been established in West section to catch up
77	Increase in workload and expense caused by 2010/11 and 2011/12 recession related NDR appeals.  Scottish Government to consider a request from RICS to extend the appeals timetable. Decision likely in May 2013	6	Review options with VAC (Asst) Secretaries. Review priorities dependant upon volume of appeals  Refer appeals to Lands Tribunal <u>if req'd</u>  Consider ways of reducing postal costs	Assr/DAs  Ass'r/DAs  Ass'r/DAs	As required  June 2013  Continual	Recent progress in disposing of these appeals has reduced the risk of significant effects
82	IT architecture review has resulted in specific issues re resilience and performance where implemented  Risk replaces a number of previous risks relating to the 2010/11 architecture review.	2	Clear and resolve items on Citrix Issues Log.  Prepare alternative approaches for critical periods.  WDC ICT and IT team to consider alternative approaches	Systems Officer  PAO  WDC/IT Team	Spring 2013  For critical points Spring 2013	
83	Failure to renew IT maintenance agreements	8	Improve inventory to include licence renewals, maintenance costs/cycles and upgrade timescales for all software, hardware and comms accessories.	ICT Team	Spring 2012	JB aware of requirement per AB 26.04.12 Inventory virtually complete. Procedures will be put in place to monitor end dates.
85	The Implementation of Individual Electoral Registration (IER) represents one of the largest challenges to the organisation in many years.	1 (in-year) 8 (in longer term)	Due to the nature of this risk a separate risk register will be developed in due course.  Consider PAO partial 'secondment' to CO Project Team.  Arrange for funding transfer as required.  Plan canvass according to revised timetable	ERO/PAO  ERO  ERO  ERO/PAO	Spring 2013  March 2013  April 2013  Spring/Summer 2013	
86	Use of social media interferes with	3	Develop & Implement a Social Media	Assessor	For June	Aim for approval at VJB meeting in

	operations of the organisation		Policy		2013	June
87	Failure to develop and implement a Young Persons Register for the expected referendum on independence	6	Maintain awareness of developing situation.	ERO/PAO	Ongoing	DT to attend Scottish Government meeting 15 <sup>th</sup> March 2013
			Liaison with Halarose to ensure any necessary EMS changes are implemented.	PAO	Ongoing	
			Implement publicity campaigns as required.	ERO/PAO	Autumn 2013	
			Amend canvass processes as required.	PAO	Autumn 2013	