THE HIGHLAND AND WESTERN ISLES VALUATION JOINT BOARD

RISK PROFILE REVIEW

1.   **Introduction**

The purpose of this report is to update the risk profile that forms part of the governance arrangements.

2.   **Risk Profile**

An updated version of the department's risk profile is attached.

The approach to risk management has been further amended in line with auditors concerns. The revised approach envisages a greater focus on major strategic risks and seeks to go beyond identification and potential mitigation. Details are provided on the method and responsibility for actively monitoring and managing risk at various levels.

The coding system categorises risk before and after measures have been taken to control the risk. Scores in inherent and residual rating may be considered as below.

1&2 Green
3&4 Amber
5&6 Red

Inherent scores of 3 and above may be considered to be above the line and require active management. The residual score gives an indication of the efficacy of the management in place.

The transition to this revised process will be further considered at the next half yearly meeting with internal audit scheduled for September..

3.   **Recommendation**

The Board is asked to comment and note the content of this report.

William Gillies
Assessor & ERO
Moray House   16 June 2017

Number	Risk	Cause/Trigger	Impact description	Likelihood	Impact	Inherent rating	Mitigation / current controls	Control Score	Residual Rating	Further action required	Lead Officer	Date of completion
SUPPLY												
1	Inadequate Funding	The budget / staffing is set too low to allow an adequate service to be provided. Sudden increase in supply costs lead to difficulty. Cost of statutory obligations exceeding budgetary provision.	Failure to provide an adequate service on discretionary elements of functions. Failure to meet statutory timetables. Failure to implement statutory requirements. Loss of revenue. Failure of electoral process. Public dissatisfaction and complaint. Loss of morale. Loss of cofidence by taxpayers and electors.	2	3	6	Support of Board for sufficient supply recognising the necessity for a tension being present in the budgetary process in times of severe pressure on public spending. Seek recognition of potential for reduced spending to result in a greater loss to public finances. Seek recognition of the importance of the electoral function being properly funded.	2	3	Continue to seek budget support from the board while ensuring that all possible measures are explored for efficiency savings	WG	Nov-17
2	Inadequate or insufficient use of information systems and technology	Aging and over stretched hardware/infrastructure providing slow and /or unrelaible systems	Poor service delivery. Loss of revenue. Failure of electoral process. Inefficiency with resultant costs. Loss of morale.	2	3	6	Consult with Highland Council to ensure early refresh/upgrade of systems and resolution of network issues	2	3	Continue to engage with Highland Council to ensure progress with network upgrade, desktop refresh and server review/replacement	FF	Sep-17
							Consult with software providers to ensure most efficient use and setup of systems. Consider spend to save options	2	3	Develop planning interface and survey tracking.	FF	Nov-17
3	Loss of staff and inability to recruit	Retirals/ resignations / flexible working	Knowledge and ability deficit. Impact on service delivery and morale	2	2	4	Succession planning. Positive approach to flexible working. Vacancy monitoring. Service reviews	2	2	Service reviews at a section level and improved workload monitoring. Monitor salary levels of jobs market	WG FF	Sep-17
LOSS OF PREMISES												
3	Loss of Assessor and ERO offices	Office affected by flood, fire vandalism, etc.	Unable to process	1	2	2	Check council's emergency plan for relocation and security arrangements, and identify alternative temporary accommodation. Consider move to alternative premises/homeworking	2	1	Monitor risk constantly for potential change to impact. Review provision of laptops/remote access.	WG/ MT	
			Loss of data	1	1	1	Back up processes in place	1	1	Frequent checks on back up procedures ensure reporting mechanism for failures	JM	Jul-17
FAILURE OF IT PROVISION												
4	Loss of IT capability	System or network failure	Inability or delay in processing data	2	1	2	Ensure daily back-up of data held off-site	1	2	Service connector to IER digital service checked daily. Confirm back up carried out daily.	MT/ JM	Jul-17
FAILURE ON THE PART OF CONTRACTORS												
5	Non/late delivery and return of forms	Missed printing deadlines or non-completion	Forms are not received and individuals are not registered	2	2	4	Early discussions with printers at national and local level to identify any obvious clashes and discuss contingencies	2	2	Timetable agreed with printers. Deadlines may be missed due to IT failures. Close contact is made with our Account Manager.	WG/ MT	
		Printing errors		2	2	4	Check out performance of potential suppliers with other clients and consider visiting premises of the selected contractor to inspect capacity, set up and processes	2	2	All data files are checked prior to sending and proof checks re carried out by Admin and Central Admin staff prior to printers being given the go-ahead to print.		
		Postal strike		1	3	3	Monitor climate and consider schedule	1	3	Close contact maintained with print supplier Account Manager.	WG/ MT	
				1	3	1	Promote online options	2	1	web references are used on all printed forms and letters issued from offices	MT/ JM	
DATA SECURITY												
6	Failure of security arrangements / staff error	Inadequate security of personal data (Names/NINos/DoB/Financial etc)	Breach of legislation	1	2	2	Liaison with local authority data security expert. Staff training requirements in DPA/data handling and acceptable use per HC Policy. Data sharing agreements as appropriate. Engagement with SAA Governance and Portal Committees. All area offices have secure locking cabinets or locked rooms. Two of the four offices have secure entry systems. Sensistive files password protected when transferred. Some information redacted from EMS.	2	1	Review procedures and datasharing agreement provision.	FF/ MT	01/11/2017
		As above	Reputational damage	1	3	3	As above	2	2		MT	