

MINUTE of MEETING of CENTRAL SCOTLAND VALUATION JOINT BOARD held within HILLSIDE HOUSE, LAURELHILL, STIRLING on FRIDAY 18 JUNE 2010 at 10 a.m.

PRESENT: Depute Provost McLaren; Councillors Biggam, Blackwood, Goss, Hughes, C MacDoanld, McNeill and Ritchie.

CONVENER: Depute Provost McLaren.

APOLOGIES: Councillors Nimmo, Paterson, Patrick and Simpson.

ATTENDING: Assessor; Treasurer; Depute Assessor, Assistant Assessor (P Wildman); and Assistant to Clerk (A Fraser).

DECLARATIONS OF INTEREST: None.

VJB1 ORDER OF BUSINESS

In terms of Standing Order 17(1), Depute Provost McLaren varied the order of business from that detailed on the agenda for the meeting. The following items have been recorded in the order that they were taken at the meeting.

VJB2. ADDITIONAL ITEM – DRAFT FINAL ACCOUNTS AS AT 31 MARCH 2010

Depute Provost McLaren advised that, in terms of Standing Order 10(1), he had **AGREED** to accept an additional item relating to the draft Final Accounts as at 31 March 2010, having regard to the special circumstances, viz, the statutory deadline for submission of the accounts by 30 June 2010. This item would be considered following the Minutes of the previous meeting.

VJB3. MINUTE

There was submitted (circulated) and **APPROVED** Minute of Meeting of Central Scotland Valuation Joint Board held on 19 February 2010.

VJB4. DRAFT FINAL ACCOUNTS AS AT 31 MARCH 2010

There was submitted Report (circulated) by the Treasurer (a) presenting the draft final accounts to the Joint Board, which indicated a net surplus of £41,000 had been realised in 2009/10, and (b) advising that a final audited set of accounts together with the auditor's report would be presented to a future meeting of the Joint Board.

Discussion took place on the following:-

- clarification in relation to accounting for long term liabilities
- staff numbers and charges made for retirement benefits
- asset depreciation

NOTED the contents of the Report.

VJB5. INTERNAL AUDIT ANNUAL REPORT 2009-10

There was submitted Report (circulated) by the Treasurer providing an independent assurance statement on the effectiveness of the financial and non financial internal accounts operating within Central Scotland Valuation Joint Board during the period April 2009 to March 2010.

NOTED the contents of the Report.

VJB6. INTERNAL AUDIT REPORT – GOVERNANCE

There was submitted Report (circulated) by the Treasurer (a) detailing the recommendations arising from the Internal Audit review in relation to Governance; (b) circulating as Appendix A to the Report, a definition of the assurance assessments, and (c) summarising the recommendations highlighted from the audit which are set out in the Management Action Plan, circulated as Appendix B to the Report.

NOTED the contents of the Report.

VJB7. INTERNAL AUDIT ANNUAL PLAN 2010-11

There was submitted Report (circulated) by the Treasurer (a) referring to Internal Audit's role in providing an independent assurance statement on the effectiveness of the financial and non-financial internal controls operating within Central Scotland Valuation Joint Board, and (b) detailing in the Appendix to the Report, two audits which have been identified for inclusion within the Internal Audit Plan 2010/11.

NOTED the contents of the Report.

VJB8. CODE OF CORPORATE GOVERNANCE

There was submitted Report (circulated) by the Assessor/Electoral Registration Officer (a) committing Central Scotland Valuation Joint Board to the principles of sound governance and good management as set out in Appendix 1 to the Report; (b) referring to the key activities and outcomes as listed in Appendix 2 to the Report, and (c) circulating as Appendix 3, the Service Plan for the period 2010-13.

NOTED the contents of the Report.

VJB9. ASSESSOR'S BEST VALUE REPORT

There was submitted Report (circulated) by the Depute Assessor summarising performance levels on work completed between 1 April 2009 and 31 March 2010.

Discussion took place on the following:-

- lack of direct evidence in relation to banding specific properties
- valuation appeals process
- increase in valuation list since 1993
- rateable values in relation to working quarries

NOTED the contents of the Report.

VJB8. SERVICE AGREEMENT WITH FORTH VALLEY GIS

There was submitted Report (circulated) by the Assessor dated 9 June 2010 by the Assessor advising of an addendum to the Service Level Agreement between the Board and Forth Valley Geographic Information System, originally entered into in July 2003 and proposing a further extension to run until 30 June 2011.

NOTED the contents of the Report.

CENTRAL SCOTLAND VALUATION JOINT BOARD

Subject: APPOINTMENT OF TREASURER
Meeting: CENTRAL SCOTLAND VALUATION JOINT BOARD
Date: 10 September 2010
Author: CLERK TO THE BOARD

1. INTRODUCTION

- 1.1 The purpose of this Report is to provide Members with an update on the Senior Management positions at Clackmannanshire Council and to ask Members to appoint a new Treasurer.

2. BACKGROUND

- 2.1 The Board were advised at the Special Meeting held on 29 January 2010 that the Treasurer, Mr Muir Wilson (Finance Manager, Clackmannanshire Council) had submitted his resignation.
- 2.2 At the Meeting of the Board held on 10 February 2010, it was agreed to appoint Ms Susan Mackay (Interim Finance Manager at Clackmannanshire Council) to the post of Treasurer on an interim basis until such times as her post was confirmed or another person was appointed.
- 2.3 Senior Management positions at Clackmannanshire Council have now been confirmed and in this respect, the Council would like to nominate their new Director of Finance and Corporate Services, Ms Nikki Bridle to the position of Treasurer.
- 2.4 Historically the Treasurer to the Board has been a financial officer from Clackmannanshire Council.

3. RECOMMENDATION

- 3.1 **The Valuation Joint Board is invited to appoint Ms Nikki Bridle, Director of Finance and Corporate Services, Clackmannanshire Council, to the post of Treasurer to the Valuation Joint Board.**

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Clerk to the Board

Date: 2 September 2010

Contact Officer: Shona Barton (01324) 506116

LIST OF BACKGROUND PAPERS

NIL

AGENDA ITEM 4

CENTRAL SCOTLAND VALUATION JOINT BOARD

Subject: REVENUE BUDGET 2010/11 – REVIEW AS AT 31.07.10
Meeting: CENTRAL SCOTLAND VALUATION JOINT BOARD
Date: 10th September, 2010
Author: TREASURER

1. INTRODUCTION

- 1.1 The purpose of this report is to advise the Joint Board of the forecast outturn for the financial year ending 31 March 2011.

2. BACKGROUND

- 2.1 The budget for the financial year 2009/10 is £2.771 million. The projected outturn against the budget shows an underspend of £114K (see Appendix A).
- 2.2 The main reason for the reported underspend relates to a reduction in Employee Costs.

3. RECOMMENDATIONS

- 3.1 The Joint Board is asked to note the contents of this report.

.....
Treasurer

LIST OF BACKGROUND PAPERS

1. Various working papers associated with the production of the outturns.

Any person wishing to inspect the above background papers should contact Clackmannanshire Council, Finance Services, on Alloa (01259) 452072.

AGENDA ITEM 5

VALUATION JOINT BOARD FOR CENTRAL SCOTLAND

Subject: Risk Assessment Report
Meeting: Central Scotland Valuation Joint Board
Date: 20th September, 2010
Author: Brian Byrne, Assessor/Electoral Registration Officer

1.0 Introduction

In November 2005 the Joint Board approved a Risk Management Strategy. Its main purpose was to identify potential risks before they occur, to then establish the potential consequences and finally determine the nature of the Joint Board's response to those risks. There are very good management and operational reasons for having such a strategy. It allows the Management Team time to carefully consider and evaluate risks before they occur, make informed decisions on what resources and actions are required and the priority to be given to those actions. This ensures good strategic planning of resources resulting in financial and operational efficiency.

The strategy enables the Joint Board to minimise, and if possible avoid, the risk of problems occurring, but if a problem does arise to respond quickly, professionally and effectively. Failure to have a Risk Management Strategy in place could result in serious problems for the Joint Board, e.g. unnecessary financial loss, bad publicity and service disruption

2.0 Internal Audit Recommendation

The internal audit report to the Board of June 2010 recommended that "a briefing should be given to members on the Risk Strategy". The agreed action was that the Risk Strategy will be presented annually to the Valuation Joint Board with regular updates on risks included in all meetings.

3.0 Recommendations

- 3.1** It is recommended that the Valuation Joint Board approve the risk strategy.
- 3.2** It is recommended that the Valuation Joint Board note the current risk assessment analyses for all functions.

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Brian Byrne
30th August, 2010

Appendix

- 1.** Risk Assessment Strategy
- 2.** Risk Analyses



RISK MANAGEMENT STRATEGY

August 2010

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1. INTRODUCTION

Risk management is the process of identifying risks, evaluating their potential consequences and determining the most effective methods of controlling them. The aim is to reduce the frequency of risk events occurring (wherever this is possible) and minimise the severity of their consequences if they do occur.

Risk management offers a number of benefits. It is not simply about insurance or health and safety risks. Rather, effective risk management will provide the Valuation Joint Board with a means of improving its strategic, operational and financial management. It can also help to minimise financial losses, service disruption, bad publicity, threats to public health or claims for compensation.

Risk management is a key task for managers in every organisation. In local government, identifying and evaluating the consequences of policies or actions is not always referred to as risk management. However, failure to pay proper attention to the likelihood and consequences of risks could cause the Joint Board serious problems. The effective management of risk is therefore a critical part of the Joint Board's approach to delivering the sound governance element of Best Value.

Risk management should be an integral to policy planning and operational management. Identifying, analysing, controlling and monitoring risk will help elected members and managers make informed decisions about the appropriateness of adopting policy or service delivery options.

This is Central Scotland Valuation Joint Board's Risk Management Strategy. It sets out policy in respect of business risk and provides a framework to structure the approach.

2. POLICY CONTEXT

Central Scotland Valuation Joint Board aims to provide high quality, effective and responsive services to all of our stakeholders.

In order to achieve this the Valuation Joint Board is committed to the management of risks within its control in order to safeguard its employees and service users, protect its assets, preserve and enhance service delivery and maintain effective stewardship of its funds.

3. AIMS AND OBJECTIVES OF THE STRATEGY

The aims and objectives of the strategy include:-

- Identification of risks
- Quantification of risks
- Control of risks
- Financing of risks

4. SCOPE OF THE STRATEGY

All risks associated with

- services
- staff
- assets
- infrastructure
- systems
- stakeholders

will be included in the risk management process. Risk management is a continuous process that will incorporate all strategic and operational risks. Categories of strategic and operational risks are defined in Appendix 1.

5. PROCESS AND METHODOLOGY

To manage risk effectively, the risks associated with each policy option or service delivery method needs to be systematically identified, analysed, controlled and monitored.

In line with these requirements, a four stage approach to risk management will be adopted.

5. 1 Approach

5.1.1 Risk Identification

For each category in Appendix 1, actual losses and failures which have occurred as well as those which might threaten the Joint Board will be identified and listed in a Risk Register.

5.1.2 Risk Analysis

Each risk identified will be systematically and accurately assessed. The process will assess

- the probability of a risk event occurring, and
- the potential severity of the consequences should such an event occur.

Using managers' experience, judgements will be made about the likelihood and severity of events occurring and these will be categorised as low, medium or high risk.

The probability and severity will then be assessed together using the formula

$$\text{Risk} = \text{Likelihood of occurrence} \times \text{Severity}$$

Risks will then be prioritised for control action.

5.1.3 Risk Control

Actions will be taken or planned to minimise the likelihood of the risk occurring or the severity of the consequences should it happen. This may require the identification and implementation of projects or revisions to operating practices. The appropriate action may be to transfer risk to another body.

5.1.4 Risk Monitoring

The effectiveness of any actions or amendments to operating practices must be monitored and reviewed and the nature of risks will be assessed for change over time.

5.2 Risk Register

- The Joint Board's Management Team will be responsible for developing and maintaining a risk register.
- The risk register will be reviewed by the Management Team at their regular meetings.
- Any updates to the risk register will be reported to the Joint Board at all meetings.
- The Assessor and ERO will have overall responsibility for the risk register.

6. **ROLES AND RESPONSIBILITIES**

	Role
Elected Members	Oversee the effective management of risk by officers of the Joint Board
Assessor and ERO	Ensure that the Joint Board manages risk effectively through the development, implementation and review of a risk strategy. Overall responsibility for the development and maintenance of a risk register Report risk register to Joint Board
Management Team	Input into the development, implementation and review of a risk strategy. Input into the development and maintenance of a risk register To ensure risk is effectively managed across all areas of the Joint Board's functions Organise relevant training and raise awareness of the risk strategy. Monitor and Review success of risk control actions and procedures.
Depute Assessor	To work with Councils and outside agencies on insurance issues.
Line Managers	Assist in the implementation of the risk management strategy across relevant area of function
Employees	Make every effort to be aware of situations which place themselves, others or service delivery at risk and report hazards. Provide information on any risks or hazards to Management Team for inclusion within risk register.
Council Services	Provide assistance, advice and training on budgetary planning and control. Provide assistance and advice on insurance and risk. Assist in the handling of any litigation claims. Negotiate insurance cover?
Office Manager	Advise on any health and safety implications of the chosen or preferred arrangements for service delivery

7. IMPLEMENTATION

Implementation of this policy will include the following:-

- A risk assessment register will be maintained
- An annual review of the risk management strategy will be carried out and presented to the Valuation Joint Board.

8. FINANCING RISK

Risk financing is an important element of risk management. The purpose is to reduce the total cost of risk, which includes;

- The amount of uninsured losses met by the Joint Board's funds
- Insurance premiums for the external insurance cover obtained
- Excesses applied to individual claims
- Management and administration costs associated with risk and insurance
- The cost of preventative measures taken to reduce risk.

In major initiatives and partnerships the cost of risk will be shared as far as is possible.

Revenue budgets will carry the costs relating to risk prevention and loss.

APPENDIX 1

Strategic Risks are hazards and risks which need to be taken into account in judgements about the medium to long term goals and objectives of the Valuation Joint Board. These may include:-

Risk Category	Definition
Political	Those associated with failure to deliver either local/central government policy.
Economic	Those affecting the ability of the Joint Board to meet its financial commitments, including budgetary pressures, failure to purchase adequate insurance cover and changes in the economy.
Social	Those relating to the effects of changes in demographic, residential or socio-economic trends on the Joint Boards ability to deliver its services
Technological	Those associated with the Joint board's capacity to deal with the pace/scale of technological change, its ability to use technology to address changing demands, or the consequences of failure of technologies on the Joint Board's ability to deliver its services.
Legislative	Those associated with current or potential changes in national or European law. Those associated with failure to meet statutory duties
Environmental	Those related to the environmental consequences of delivering the Joint Boards services.
Competitive	Those affecting the competitiveness of the service in terms of cost or quality
Customer/Citizen	Those associated with failure to meet the current and changing needs, expectations and aspirations of customers and services

Operational Risks are hazards and risks which managers and staff will encounter in the daily course of their work. These may include:-

Risk Category	Definition
Professional	Those associated with the particular nature of each profession
Financial	Those associated with financial planning and control and the adequacy of insurance cover
Legal	Those related to possible breaches of legislation
Physical	Those related to fire, security, accident prevention and health & safety
Contractual	Those associated with the failure of contractors to deliver services or products to the agreed specification and cost and within agreed timescale.
Technological	Those related to reliance on operational equipment (e.g IT systems etc)
Environmental	Those related to pollution, noise or energy efficiency of ongoing service operation.

FIRE RISKS

Risk No	Category	Risk Description	Existing Controls	L	S	Risk Score	Required Actions	Residual Risk
	People	Not being aware of the presence of Visitors	All required to sign visitors book on arrival and on leaving. Notice on door to stairway to remind visitors to sign in.	1	1	1		1
		Visitors not aware of fire safety	Fire precautions made known to all casual visitors. Regular visitors - members of the portal Team have been involved in a Fire Drill. No visitor will normally be on their own in the office.	2	1	2	No visitor should be left on their own in the office unless they have been given fire safety advice specific to the office	1
		Children/Visitors with children	Children will not be unsupervised in the office. Work Experience pupils will have fire safety advice on arrival and will remain supervised. Visiting children will be supervised at all times. Fire escapes are available on Ground and first floors with a ramp for push chairs etc. The top floor has a short set of steps but reasonable for push chair. Interview rooms are only available on Ground and First Floor (although there are conference and meeting rooms on top floor these are not used by the public).	1	1	1	Interviews with adults accompanying children should normally be conducted on Ground or First floor only.	1
		Elderly Visitors	No significant increased risk - the top floor fire escape has a short set of stairs.	1	1	1		1

		Visitors with disability	Each floor has two means of escape - Only on the top floor do both involve steps. While the steps on the top floor escape are very short there is an increased risk to adults in wheelchairs.	2	1	2	While the stairs are wide/short enough to allow assistance the area around the fire escape should be regarded as a refuge point. Interviews with persons in Wheelchair should be conducted only on Ground or First floor.	2
		Young/inexperienced staff	Induction process includes fire safety training - including training by Central Scotland Fire Service	2	1	2		2
	Ignition/fuel	Computer Monitors	All Monitors in use are LCD type with no place to leave paper on top	1	1	1		1
		Servers	Smoke detector in the main computer room.	1	2	2	Two servers require old style monitors replaced by flat screen	2
		Windows	Restricted opening but staff can open wider by overriding restriction	1	1	1	Staff to be advised to keep window opening restricted	1
		Smoking	No smoking within the building. Smoking area outside with purpose built receptacle for cigarette ends	1	1	1		1
		Naked Flames	no naked flame sources	1	1	1		1
		Kitchen	To avoid use of cooker, grill and kettles a plumbed in hot water source for tea and coffee and microwave oven supplied rather than the need for the open source of heat from a cooker/oven. Staff advised on proper use of microwave oven. A "cold wall" toaster is also supplied with clear instructions for use. Water heaters are available on each floor to prevent use of kettles	2	1	2		2

		Solvents	Only small amount of correcting fluid - ordered when required not excessively stored. Cleaning fluids for PC keyboards are stored out of sunlight and away from radiators. WD40 used in the office but stored from sunlight. Small containers of alcohol based antibacterial hand wash available in Conference room and at reception - no large refill containers are kept	1	1	1		
		Switch gear etc	regularly checked	1	1	1		
		Printers	Large prints runs are attended by a member of staff. The APOLLO printer is maintained by IBM	1	1	1		
		Gas Boiler	regularly checked	1	1	1		
		Heaters	Only radiators (gas heating system)	1	1	1		
		Paper supplies	Paper is bought in bulk for best value and stored off site and called off when required.	2	1	2		
		Waste Paper	Retained and collected weekly. Confidential waste paper is shredded Retained in a machineless room	2	1	2		
		Old equipment	Portable Appliance Testing carried out by Kirby Electricians	1	1	1		
		Electric Motors (Fans + lift motor)	Annually maintained at the same time as fire extinguishers are checked. Lift is checked 10 times per year.	1	1	1		
	Measures	Extinguishers	Annually checked through Stirling Council each September, by a company called Kidde	1	1	1		
		emergency lighting	Annually checked by Kirby Electrics	1	1	1		

		Signs	Annually checked at same time as Fire extinguishers Signs as per EU agreement	1	1	1		
		outside	Security service - Abbeyforth of Stirling	1	3	2		
		Alarms	Regular maintenance - Contract with Initial - information regarding checks retained in Fire Book retained at reception	1	1	1		
		training	regular fire drills and training by Central Scotland Fire Service	1	1	1		

Electoral Registration Contingency planner and risk register

Scottish Parliamentary general election 2011

Date: July 2010

Author: Brian Byrne

Document version: 0.99

Defining the level of impact and likelihood of risk

The risk assessment grid

	Impact		
Likelihood	High (3)	Medium (2)	Low (1)
High (4) (certain)			
High (3) (probable)			
Medium (2) (possible)			
Low (1) (unlikely)			

The risk assessment process requires a subjective judgement to be made on the potential impact and likelihood of the risks identified in the risk register. When this is completed, the likelihood should be multiplied by the impact to provide a rating for each risk. **For example:**

Risk description	Likelihood	Impact	Rating	Contingency/action	Responsible officer	Review date
Loss of polling place – school destroyed by fire prior to election.	2	3	6	Identify alternative polling place/order mobile polling station/portacabin		

Electoral Registration Service contingency planner and risk register.

Some elements of these risks are at the interface between Registration and Election Management and should be co-ordinated with the Election Management contingency plans

Risk description	Likelihood	Impact	Rating	Contingency/action	Responsible officer	Review date
1. Challenge to the election						
1.1 Legal action against the ERO (especially in regard to prisoner disenfranchisement)	2	3	6	<ul style="list-style-type: none"> Legal support – monitor awareness of issues among currently available legal team. Currently Clacks Legal Services are very well aware of the issues and have been involved in defending the EROs decisions on this matter at the highest level. Effective training of senior staff to recognise potential issues Lodging continuous “caveats” with local courts and Court of Session. Liaise with other EROs and through EMB be aware of current campaigns and legal decisions 	ERO	Nov 2010

2. Data security						
2.1 Loss of data in transit	2	3	6	<ul style="list-style-type: none"> • Ensure all transfer of data is encrypted • Use SFTP transfer to printers • Ask for personal collection of printed versions of the register (get receipt) • Any email or CD transfer must be encrypted (using 7zip rather than weaker formats) • Transfer on behalf of ERO to a supplier must be under a contractual relationship or legal requirement. • Any transfer on behalf of RO must be sanctioned by pre-agreed timing and to named supplier. Check that RO has a contractual relationship with the supplier • Make training provision to ensure all staff are aware of their legal responsibilities around the supply of information • Ensure that transfer of data between ERO and RO is via "HALAP" folders and ensure 	Depute ERO (as Data Protection officer)	Oct 2010

				<ul style="list-style-type: none"> that only nominated RO staff have access to this folder RO staff must remove data daily from “Halap” folders or when advised and save to a secure location. As such data can cause back-up failure it will be removed as part of the overnight back-up procedures. 		
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3. External action						
3.1 Planned industrial action which would impact on the availability of some staff	2	2	4	<ul style="list-style-type: none"> Ensure project plan allows for delays when some staff may not be available Develop plan to identify alternative resources as far as possible to provide alternative staff cover. Work out contingencies to cover the situation where industrial action is scheduled for key election dates 	ERO/Depute ERO	Aug 2010
3.2 Lack of awareness and insufficient planning for new legislation and changes in legislation or guidance	1	3	3	Awareness of and input to Government policy through SAA & AEA. Good communications with appropriate departments such as Cabinet Office, Scotland Office,	ERO	ongoing

				<p>Scottish Government for statutory functions and departments (e.g. Finance, HR/personnel, RO) of the 3 Councils for non-statutory matters.</p> <p>Encourage EROs' involvement in (Interim) Electoral Management Board. Keep software supplier (Halarose) aware of pending developments.</p>		
3.3 Boundary changes	4	2	8	<p>Ensure GIS within office can provide the required service.</p> <p>Liaise with ROs re requirements for Polling Scheme. Particular concerns with any changes to polling schemes as a result of the new Scottish Parliamentary boundaries due in 2010, as the boundary approval is expected to be delayed until Autumn 2010.</p> <p>Council Polling Schemes must be in place before publication of the register in the new boundaries can be achieved. Most Councils have agreed to do this before November 2010 but there is some doubt about Falkirk who may wish to carry out a full review which cannot be</p>	Depute ERO	From June 2010

				completed until just before the election.		
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4. Loss of premises						
4.1 Office (wholly or partly)	1	3	3	<ul style="list-style-type: none"> • Develop and improve the Business continuity plan • Prepare list of alternative venues, including making standby arrangements if necessary • Ensure that contingency arrangements are DDA compliant • Confirm access to communications (e.g. mobile coverage, available landline) • Check facilities (heating, power, toilets etc.) and fire and security arrangements • Share RO & ERO Business Continuity plans to ensure continuing contact 	Assistant Assessor (West) and Office Manager	From June 2010

5. Failure of IT provision						
5.1 System failure	2	3	6	<ul style="list-style-type: none"> Detailed comprehensive and strict back-up regime to disc and/or tape for storage in fire proof safe or off-site Ensure hard copies of data are available Maintain a duplicate system capable of replacing the original at short notice or if unaffected by the initial failure to be available almost immediately as a mirror Halarose can access & provide service via VPN if required 	Assistant Assessor (East)	ongoing
5.2 Network failure	2	3	6	<ul style="list-style-type: none"> standby arrangements with contractor and in-house IT providers 		
5.3 Printers / scanners malfunction	3	2	6	<ul style="list-style-type: none"> Ensure printers and scanners have been fully serviced, spare toner available, etc. before election commences Call out service for main printer (Apollo) Use identified alternative printers and scanners within the building and ensure 	Office manager/IT	ongoing

				<ul style="list-style-type: none"> necessary network connections are in place Have sufficient scanning capacity that a breakdown of one scanner will not delay processing unduly 		
5.4 IT office affected by flood, fire, vandalism, etc.	1	3	3	<ul style="list-style-type: none"> Review business continuity plan (BCP) and security arrangements BCP plan pack held elsewhere e.g., senior officer's homes and Council office Keep documentation on how to perform functions manually up to date Consider more formal arrangement with supplier for alternative emergency accommodation 	Assistant Assessors & Office Managers	August 2010
5.5 Telecom/fax failure	2	2	4	<ul style="list-style-type: none"> In the quarter before election date as part of BCP set up redirection service to mobile phones or alternative location (FAX). For short notice election set up a partial redirection service immediately 	Office Manager	Jan 2011

6. Security and fraud issues						
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6.1 Loss of key documentation papers, etc.	2	2	4	<ul style="list-style-type: none"> • Ensure office kept locked outside of office hours • use safe and locked cupboards for storage of key documentation 	Office manager	ongoing
6.2 Unauthorised access to office	1	2	2	<ul style="list-style-type: none"> • Maintain a list of authorised key holders and others entitled to access the office • Change access codes whenever key staff leave. 		
6.3 Any accusations of fraud	1	2	2	<ul style="list-style-type: none"> • Keep in touch with local SPOC at least once in the year • Make contact with local police SPOC in advance of the election period. • Develop media strategy for use in the event of accusations being made 	ERO/Depute ERO	Sept 2010

7. Failure on part of contractor						
7.1 Printers (Poll cards and registers)	2	2	4	<ul style="list-style-type: none"> • Prepare list of approved contractors • Check out performance of 	Depute ERO	From June 2010

				<p>potential suppliers, including any sub-contractors, with other major clients</p> <ul style="list-style-type: none"> • Consider visiting selected printer premises to inspect capacity, set up and processes • Check printers project plan and quality management processes • Consider contingency arrangements to print products elsewhere in the event of non-delivery (including in house) • Ensure rigorous contracting arrangements are in place, also covering any sub-contractors • Ensure supplier is aware of and takes account of data protection issues • Even if continuing with previous printers, check/monitor as thoroughly as would with a new printer 		
7.2 Stationery/equipment, etc.	1	1	1	<ul style="list-style-type: none"> • Review existing stock levels and prepare inventory • Place orders to replenish stocks • Arrange early planning meeting with provider to confirm overall 	Office manager/ Depute ERO/	From June 2010

				requirements <ul style="list-style-type: none"> • Check wording of official documents to ensure compliance with legislation • Depute ERO to check that our website and stationary stock are current versions • Confirm that RO staff have checked that only current versions of forms are provided in libraries and available via Council websites 		
7.4 Royal Mail (Poll Cards)	2	2	4	<ul style="list-style-type: none"> • Establish contact with Account Manager • Set up regular review meetings with Royal Mail • Ensure early receipt of business reply numbers, etc. • 	Depute ERO/Office manager.	From August 2010

8. Poll cards						
8.1 Inclusion of inaccurate or incomplete information	2	2	4	<ul style="list-style-type: none"> • RO staff to check their polling scheme files before advising Depute ERO when to extract files. Any addresses not in polling scheme cannot be extracted for printers 	Depute ERO/	From August 2010

				<ul style="list-style-type: none"> • Early agreement on wording for each version of poll-card. Final versions to be sent to printers immediately after the agreed deadline • Decide as part of election planning whether certain poll cards will be printed “in-house” or as part of contract with supplier (proxy poll cards, postal proxy poll cards, anonymous poll cards) • Agree export formats with printer and selection criteria (whether overseas address selected separately or not) • Robust proofing procedures including ERO & each RO to have access to printer’s SFTP site for data transfer and proof checking. • Include quality checks in contract or in any in-house arrangements prior to issue • Confirm contingency arrangements with supplier • Reprint poll cards or consider alternative means of notification of all relevant 		
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				<p>details (e.g. by letter)</p> <ul style="list-style-type: none"> • Ensure our own large printer is available as contingency (to issue by letter) or to use for anonymous or other unusual cards if not part of suppliers service (IBM call out service in place) • Ensure RO and polling staff are aware of the fact that details on the issued poll card can be changed in the register by election day. Although a new card or letter is issued the old one cannot be withdrawn and an elector may mistakenly (or deliberately) turn up with the old card 		
8.2 Problems (or past problems) with delivery	2	2	4	<ul style="list-style-type: none"> • Maintain regular contact with Royal Mail or other distributor • Discuss alternative options for emergency hand delivery, in limited problem area, with Returning Officer staff or any other alternative provider. For example to cover the loss of a polling station. 		

9. Postal votes						
9.1 Actions of Political canvassers	2	2	4	<p>Attend any pre-election briefing by ROs for Parties and candidates to emphasise the importance of the relevant guidelines in safeguarding the voters' interests</p> <p>Through Electoral Commission and PPP raise awareness of potential problems with Absent votes</p>	ERO	From March 2011 ongoing
9.2 Absent Vote data supply problems	3	3	9	<p>Work out a detailed plan to ensure that data is supplied as early as possible. Agree this plan with ROs; indicating where the risks lie.</p> <p>For example set a time limit by which no more input of postal votes received on the last day will be accepted. Check and produce a register at that time, store and produce the absent vote list from that register and send data to each supplier.</p>	ERO/Depute ERO	From August 2010

				<p>After data is accepted, resume input of any outstanding absent votes to produce the “pull out” list. This ensures that data is sent as early as possible but can result in additional “pull out” work for printers ROs and ERO.</p> <p>Discuss with RO staff & printers proposed timetables for supply of any early list & system for pulls and additional postal vote data.</p> <p>The plan should include a procedure & solution with RO staff re changes in register up to midnight after absent list closes at 5pm for electors with postal votes (Name changes and /or address changes)</p> <p>Once agreed, any later suggestions from RO staff, for example regarding “pull outs”, that are incompatible with this plan should be referred to the ERO and the appropriate RO.</p> <p>It is important to note that the time taken by the system to produce a register, store absent vote lists, and</p>		
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				<p>to verify receipt of data can be several hours; so it may be necessary to set the “no more update” limit close to, or earlier than, the 5pm deadline for applications, depending on the data receipt “slot” agreed by ROs.</p> <p>As in 2010 arrange overtime working to ensure that all postal vote applications are added to the system on day of receipt - including weekend working to prevent backlog building up on Saturdays. This worked well in 2010, and if repeated will mean that an early cut off will only affect applications received on the last day, although that could still be considerable numbers.</p> <p>Obtain written confirmation of requirements in data format direct from the printer/supplier – do not rely only on information from RO staff or memory of previous elections. Where there is a difference report this to ERO.</p>		
9.1 Verification of identifiers delaying the count	2	3	6	<ul style="list-style-type: none"> As part of election plan ensure that Election teams request an 	Depute ERO	January 2011

				<p>early copy of images for testing and have an agreed timetable for such tests.</p> <ul style="list-style-type: none"> Suggest that after the election those rejected which need further investigation to be forwarded to SPOC and or Team Leader as necessary within 30 days 		
9.10 Major system failure (ROs system)	2	2	4	<ul style="list-style-type: none"> Transfer data including images to “Halap” folders. Confirm that RO staff can then access a secure copy via any required laptop or other contingency. If “Halap” is unavailable for transfer of such large files copy to CD/DVD as necessary and hand deliver to named contact. 	Depute ERO	April 2011

10. Staffing						
10.1 Insufficient competent staff	2	2	4	<ul style="list-style-type: none"> Early agreement on staff availability Well documented recruitment procedures Comprehensive training programme carried out early 	Depute ERO	August 2010
10.2 Insufficient staff to deal	2	2	4	<ul style="list-style-type: none"> Daily monitoring of mail , e- 	Depute ERO/	From

with registration applications received close to the 11 day deadline				<ul style="list-style-type: none"> • mails etc - including assessor's portal addresses • Authorise overtime as required to ensure no backlog occurs • Second staff from Assessor and Councils if necessary • Ensure VJB staff have sufficient skills to be able to assist 	ERO & Team Leader	August 2011
10.5 Mistakes by inexperienced staff or by staff not fully aware of changes to legislation	3	2	6	<ul style="list-style-type: none"> • Training to be scheduled for all registration related staff to ensure competence to undertake duties. • Provide guidance notes to relevant staff • Carry out election refresher training for core staff during the six months prior to the election • Checking system is in place to ensure that every application is verified by 2 staff members • Share details of staff training documents between ERO & RO staff. PO's etc 	Depute ERO	From Dec 2010
10.6 Over reliance on key staff	2	3	6	<ul style="list-style-type: none"> • ERO and Depute ERO membership of SAA ER committee as source of advice on shared election issues. Dissemination of that advice to 	Management Team	ongoing

				<p>other key staff</p> <ul style="list-style-type: none"> • Similarly ERO Depute ERO and Assistant Assessors membership of AEA • Encouragement of Election teams to use ERO Team Leader as main point of contact for most issues (especially postal voting) • Team Leader to attend meetings with RO staff and with suppliers. • Identify named deputies for RO senior staff and obtain up-to-date structure lists. Share contact details with Election Teams. • All VJB staff to be provided with a checklist to allow completeness checks on hand delivered application forms so that they can be verified as fully complete before the elector leaves the building • This checklist to be provided to Council staff for similar use. 		
10.7 Problems with access rights to the Halarose Eros system	3	2	6	<ul style="list-style-type: none"> • There is a balance to be struck between access and security. Tighter control since 2009 by 	ERO	July 2010

				<p>the administrator has protected ERO and RO data but we should investigate the specific areas where control may now be capable of relaxation</p> <ul style="list-style-type: none"> • Experience in 2009 was that access allowed for one reason resulted in damage to other Councils' and ERO's core areas. • ERO to identify areas where Halarose Eros access can be open to non administrators in ERO staff (subject to Halarose amending the system) • Depute ERO has previously requested RO staff to provide details where direct access is required. Minutes of SHUG meeting June 2010 requires all members to supply information by 31/07/10 for June Nelson (DABVJB) to collate. • Until such details are provided and Halarose supply a solution to access problems any requests can be made via Depute ERO (as system administrator) for consideration 		
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				<p>of the potential impact on ERO data and other Councils' data. The IT team and Halarose (via VPN) can also act as administrators to carry out the specific task in the absence of the Depute ERO.</p> <ul style="list-style-type: none"> Ideally Councils should nominate local administrators for adding, deleting staff and password control. Halarose could then be asked to make appropriate changes to security for those actions 		
10.8 Not closing down Eros processes; preventing later user login.				<ul style="list-style-type: none"> This caused several problems early in the 2010 election as RO staff began to set up elections. Halarose has implemented a solution suggested by the IT team and this seems to have removed the problem. However as busier election times approach all staff (ERO and RO) should be reminded to close down processes or if unable to do so for some reason, report this to the ERO's IT team so that any ensuing problem can be 	Depute ERO	Jan 2010

				rectified or allow back-up processes to be temporarily rescheduled		
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11. Polling day						
11.1 Polling day enquires from the public or from election staff	4	1	4	<ul style="list-style-type: none"> • Ensure expert staff available on election day • IT availability on election day depending on RO requirements • Ensure IT and other staff are aware of named contacts in Election Offices • Pre agree (well before the election) with election offices the procedures for correcting clerical errors 	ERO/Depute ERO	From Dec 2010
11.2 Problems with voter dissatisfaction or aggressive behaviour	2	2	4	<ul style="list-style-type: none"> • Provide guidance to frontline staff, including FAQs to assist with giving answers to common queries • Provide guidance on dealing with aggressive customers, drawing on resources developed by other council departments 	Team Leader	Dec 2010
11.3 Mistakes by RO staff, PO, & PC	3	2	6	<ul style="list-style-type: none"> • Suggest ERO staff are involved in pre-election training so that it covers relevant aspects of 	Depute ERO	Aug 2010

				<p>registration and register display</p> <ul style="list-style-type: none"> • Ask for draft of election notices and Council advertising of registration before publication. • Avoid using registration “jargon” when dealing with inexperienced RO staff. They may not hear what you think you are saying and this can lead to mistakes or misunderstandings. For example the Halarose activity “Storing Postal Votes” at the very end of postal voting processing may be wrongly interpreted as “stockpiling postal vote applications” • Feedback forms from Election Day staff re problems to form part of post election review. • Post election review to be held within 14 working days of polling day 		
11.4 Polling station fire or similar disruption during election day	2	3	6	<ul style="list-style-type: none"> • If register destroyed, duplicate can be provided by RO staff from original copy supplied, or can request Depute ERO to provide a fresh copy. 	Election Team (Depute ERO if requested)	As required

COMBINED GENERAL RISKS

Risk No	Category	Risk Description	Existing Controls	L	S	Risk Score	Required Actions	Residual Risk	
1	Political	Lack of Notice of Council Tax revaluation/abolition	In touch with government policy through SAA	1	1	1		1	Assessor
2	Economic	Increased expenses	Liaise with HR department of Clackmannanshire Council to keep aware of changes to expenses regime. Continuous monitoring of expenses claims. Publication of mileage scheme on Intranet (Oct 06)	1	1	1		1	Assessor
3	Technological	Loss of incoming data from registers of Scotland	Liaison between IR Team and RoS. Input to RoS through direct contact and SAA about our requirements. Back up regime	1	3	3		3	Depute Assessor (W)
4	Legal	Failure to comply with Freedom of Information legislation	Staff training and awareness of the FoI Act. Most requests for valuation details now treated as "normal business". Presentation for staff on awareness of FOI and Data protection Aug/Sep 2007 Joined in new Model publication	1	1	1	Review FoI policy and publication scheme annually. Treat regular requests as normal business. Next model scheme review in 2012	1	Depute Assessor (W)
5	Legal	Failure to comply with Disability Discrimination Act (Access requirements)	Existing lift and ramps appear adequate and any of our services can be supplied by on-site visit.	1	1	1	Monitor legislative changes - take advice from Clacks and other sources.	1	Office Manager
6	Physical	Water contamination	Drinking water supplied separately on each floor. Mains water tested regularly	1	1	1		1	Office Manager
6A	Physical	Loss of water supply	Drinking water supplied separately on each floor. Water tanks contain enough for 4 hours. Coffee machines can be used for breaks (even if they have to be filled from bottled water sources)	1	1	1			
7	Physical	Lone working- Danger to staff	Review of lone working & outside working - staff consultation. Health and Safety Committee including representation from each floor and consultation with the police over lone working procedures. Provision of mobile 'phones incorporating personal security features	1	3	3	Regular review of lone working arrangements to include "door-to-door" canvassers & further training.	2	Depute ERO & Office Manager

7A	Professional	Lone working - not working effectively	Reporting of places to be visited and work carried out	1	2	2			Asst Assessors
7B	Physical	Danger to staff	Training is available in lifting, but staff involved in lifting boxes of paper and water bottles have a lack of training in lifting and no one has taken advantage of the training	1	3	3	Encourage take up of courses, consider removal of large water containers	2	
8	Economic	Effects of new legislation (on budget, and workload)	Keep informed of potential changes in legislation through membership of SAA and AEA. Regular monthly (at least) team briefing involving all staff (via line managers). Regular monthly meeting with Accountant	2	2	4	Review and update the Service Plan (including risk register). Review training needs regularly.	2	Management Team
8A	Political	Introduction of Individual Registration increasing costs of canvass	Monitor and react to proposals for individual registration - keep involved in Electoral Commission and MoJ/Cabinet Office groups planning the introduction (5 year voluntary phase starting in 2010 at earliest but not yet clear how it is going to be done)	2	2	4	Continue involvement through SAA, AEA and directly to ensure that plans are practicable and that any additional costs are met as far as possible directly by Cabinet Office. Now awaiting new government proposals (August 2010)	4	
9	Technological	Hardware failure	Strict back up regime. Complemented by mirror site at Onyx (Campbell-Lee), Springburn. Insurance. Email now via Exchange servers - with back-up. Printers - ensure documents can be printed externally. Separate full mirror of the ER system	3	1	3	for Valuation systems, only the core non-domestic and domestic data is mirrored - although all data is backed-up to tape. Ensure "neverfail" works correctly in email system. .	2	Depute Assessor/IT Team
10	Technological	Loss/corruption of data	Strict back up regime. Complemented by mirror site at Onyx (Campbell-Lee), Springburn. The ER (Halarose) system is mirrored at Viewforth.	3	3	9	ER system is now mirrored at Viewforth, consider other sites for other mirrors (e.g. other Councils).	3	
10A	Technological	Misuse of data/internet	Use of computers, email, and internet policy approved by Board and explained to staff in 2005 and has been part of induction for new staff since then. All staff sign acceptance of policy	2	2	4	Although encryption techniques are used and have been successful there is a risk of data loss in dealing with legally entitled recipients who are not familiar with such security. Investigate increased use of other technologies such as SFTP – to be discussed with Depute ERO and IS in 2010	4	Depute Assessor/IT Team Office manager (for new staff) Depute ERO and Assistant Assessors for external

10B	Technological	Loss of Planning and Building Warrant data	Good links with relevant departments of local councils and National Park Authority	1	2	2			Asst Assessors
11	Technological	Failure of LAN servers	Strict back up regime. Use of RAID.	3	2	6	Investigate possibility of consolidation of servers to allow full mirroring. Establish realistic lifetimes (with available support) for all servers.	2	IT team
12	Technological	Loss of programming capability	In House IT Team. Ensure training is kept up to date in programming capability - IT team training in new systems carried out in 2006/07	2	2	4	Review IT workload - design job specification for new staff member. Make more use of outside suppliers of programming capability. (done from 2008/09)	4	Depute Assessor/IT Team
13	Legislative	Responsibility for Ports - Cost of potential cases	Developing communications with the 3 main ports and others. Ensure communications with local assessors are maintained. Expertise on Receipts	2	2	4	Consider Producing a Docks and Harbours Practice Note for SAA approval. Continue to liaise with VOA in national discussions. Although referred to Lands Tribunal no 2005 to 2009 cases involved litigation.	2	Assessor & Asst Assessor (E)
14	Legislative	Change to method of financing Local government	Monthly meeting with accountant (office manager and/or Assessor). Awareness of and input to government policy through SAA	2	2	4		4	SAA
15	Legislative	Lack of awareness and insufficient planning for new legislation	Awareness of and input to government policy through SAA & AEA. Good communications with appropriate departments such as ODPM, Scotland Office, Scottish Government for statutory functions and departments (e.g. Finance, HR/personnel, RO) of the 3 Councils for non-statutory matters.	1	3	3	Develop involvement in (Interim) Electoral Management Board. Keep software supplier-Halarose aware of pending developments	3	Assessor ERO, Deputes and Assistant Assessor
16	Competitive	Failure to set Targets	Monthly review of progress involving whole management team.	1	2	2		2	Management Team
17	Competitive	Failure to adequately motivate	Staff consultation. Monthly management team meetings followed by Team briefings	1	2	2	Produce bullet points of management team meetings	2	
18	Customer/ Citizen	Staff stop using cars	Continuing contact with Clackmannanshire HR department, but flexibility to ensure needs of the more widespread VJB area catered for.	1	2	2		2	Assessor

18A	Customer/Citizen/ Professional	High error rate and lack of consistency in Valuation	Good checking procedures - no one person can finalise a valuation. Training and clear guidelines, practice notes and requirement of professional standards by chartered surveyors and qualified technicians	1	2	2			Asst Assessors
18B	Customer/Citizen/ Professional	Failure to pick up changes to properties	Good access to planning/ building permissions, local newspapers. Spot checks on work by professional /technical staff. End of year audit of surveys.	1	2	2	Continuing training		Asst Assessors
19	Customer/ Citizen	Bad press reports	Openness with press and public. Ensure awareness of our own complaints procedure. Amended Complaints procedure approved by	1	2	2		2	Management Team
20	Professional	Inadequate/lack of training	Annual review of individual training needs with rolling 2-year plan. Training issues raised at monthly management team meetings	2	2	4	Encourage use of Conference room facilities for in-house training CPD. Use council supplied training to supplement the 2 year plan	2	Depute (W)
21	Professional	Long-term illness of key personnel	Ensure good communications with teams and between teams so that over dependence on individual knowledge is avoided as far as possible	1	2	2	Set up inter-team Working groups as necessary. Continually improve written procedures/Manual. Develop Multi-tasking teams.	2	Management Team
22	Professional	Ineffective training	Annual review of individual training needs with rolling 2-year plan. Training issues raised at monthly management team meetings. Staff consultation	1	2	2	Consider feedback questionnaire for all staff returning from training	2	Depute Assessor
23	Professional	Loss of groups of staff	Ensure good communications with teams and between teams so that over dependence on knowledge entirely within one team is avoided as far as possible	1	2	2	Improve written procedures/Service Manual. Consider merging teams during restructuring opportunities.	2	Management Team
24	Professional	Unethical behaviour	Openness - customer care. Annual review of individual training needs. Office Manual and disciplinary procedures on intranet. Complaints and anti-harrassment procedures in place	1	2	2	Improve written procedures/Service Manual	2	Depute Assessors
26	Financial	Unexpected salary increases	Monthly meeting with accountant and Office manager. Followed by reports to the Management Team. Early preparation of Budget	1	2	2		2	Assessor

27	Financial	Exceed budget	Monthly meeting with accountant and Office manager. Early preparation of Budget - 3 year budgeting. Use joint-framework, tendering. Involve whole management team by way of regular reports	1	3	3		3	Assessor
28	Legal	Failure to comply with Equality obligations	Review of Race Relations action plan (approved Sept 05). Three year plan approved by VJB (Sept 05); renewed by VJB (Oct 08) Disability Equality	1	1	1	continuously review Race Equality Action plan. Implement disability scheme and action plan. Involvement by senior staff in upcoming equality issues (faith, sexuality).	1	
29	Legal	Failure to have personnel policies	Close liaison with Clackmannanshire HR department. General acceptance of Clacks HR policies with tailoring to specific VJB requirements where necessary.	1	1	1		1	
30	Professional	Reputation of staff/ organisation	Openness - customer care - Office Manual, written procedures on Intranet. Disciplinary procedures published on Intranet. Disclosure Policy approved (Sept 07)	1	3	3	Develop corporate goals. Develop written procedures. Service plan/Service Manual.	2	ERO, depute ERO
31	Political	Failure to deliver CORE project objectives	Membership of Consortium of the three local authorities to purchase CORE compliant system (purchased 2005). Help to establish the Scottish Halarose Users' Group. Keep in touch with changing aspects of CORE through SAA and AEA groups. Deliver project plan for Cabinet Office standards	1	3	3	Keep informed of CORE and MOJ developments by Halarose. Participate in Halarose user Group and Scottish Halarose users group. Data Standards due for completion by December 2009. (Now complete as at December 2009). Overall CORE project on hold until IER issues resolved by Cabinet Office	2	
32	Political	Councils dissatisfied with the ERO function	Regular contact with 3 ROs to ensure their needs as "customers" are taken into account. Co-operation on the Eros Election management /registration system	2	2	4	Develop the Service Level Agreement. Liase with Councils and Halarose	3	
32A	Political	Review by Government and Electoral commission of electoral and registration systems	Respond to consultation documents through SAA and AEA, and direct contact with Electoral Commission, Scotland Office (& Cabinet Office), and Scottish Government	2	2	4	Involve Halarose and user groups to develop required changes. Involvement through SAA ER Committee (and directly) with the Interim Electoral Management Board for Scotland. Encourage membership of Halarose forum among RO staff	4	ERO
33	Social	Ward boundary changes (Future changes to be provided only in electronic format)	Service Level Agreement with FVGIS to ensure continuing capability in Geographical Information Systems	3	1	3	Ensure GIS within office can provide the required service. Liaise with ROs re requirements. Particular concerns with any changes to polling schemes as a result of the new Scottish Parliamentary boundaries due in 2010, as the boundary approval is expected to be delayed until Autumn.	3	

Assessor

ERO, depute ERO

ERO, Depute ERO

ERO

Depute ERO and Assistant Assessors

34	Technological	Failure of communications between office and mirror	Tape back ups remain in place to ensure that there is no loss in data.	3	2	6	Investigate resilience with Campbell-Lee. Upgraded line to be in place by end of 2008/09 (Done)	3	Depute Assessor (E)
35	Technological	Loss/failure of assessors (Corona) system	Strict back up regime. Complemented by mirror site at Campbell-Lee, Springburn. Continuing dialogue with main supplier. Project team to help with communications between supplier and users. Corona Users' group involving Central Scotland, Highland, and Borders. Ensure that we are never solely reliant on the Corona system for all aspects, by making use of in-house add-ons, making it easier to put temporary work around in place if	2	3	6	Investigate other available suppliers for new parts of the system to reduce dependence (as already done with the ER system).	3	
36	Technological	Failure to accept CAG data	Involvement with the CAG project through direct contacts and FVGIS. Membership of a CAG-Assessors project	3	2	6	Complete the CAG/Assessors project. Take part in any pilots to establish best practice in CAG/Assessors links. Liase with Halarose & user groups on how to import data safely into the Eros system	3	Assistant Assessors and Depute ERO
37	Technological	Loss/theft/damage to hardware	Insurance. Office security measures. Back up regime and mirroring to prevent permanent loss of data	1	2	2	Ensure insurance remains adequate and consider improvements to email system	2	
38	Customer/ Citizen	Inefficient canvassing	Annual review of methods. Investigation of options following each annual canvass. Internet/phone/text options in place (since 2007)	1	2	2	Annually review the cost effectiveness of door to door canvassing, telephone, internet, text, and postal canvassing - both locally and as part of SAA ER Committee	2	Depute ERO
39	Professional	Failure to retain/attract professional staff	Ensure salaries and prospects match those of neighbouring offices as far as possible. Staff structure amended to	1	3	3	more staff involvement with SAA	3	
40	Professional	Industrial action	Union consultation. Staff consultation to identify problems at an early stage. Openness	1	2	2		2	
40A	Professional	Conflict of interest		2	2	4	All staff should be required to declare potential conflict of interest Audit action 2010 to have annual declaration of interest		
41	Professional	Loss of key staff	Ensure good communications with teams and between teams so that over dependence on individual knowledge is	1	2	2	Improve written procedures. Review IT workload to specify job description for replacement staff.	2	
41A	Professional	Reliance on any one individual for particular functions	Review of working practices and manuals to eliminate bottlenecks where the skills or expertise of one person is relied on.	2	2	4	Guidance notes and training manuals to be made widely available to ER staff. Ensure use of such guidance is included in general reviews of staff training needs. Restructure of Electoral/Clerical sections in August 2009 into one section with change working practices to reduce bottlenecks but review progress after a year. This has already allowed the Team leader to support the Depute ERO more effectively. Spread knowledge of Electoral matters to both Assistant Assessors (already membership of AEA, take up of certificate Course 2009) to allow back up to ERO and Depute ERO. Encourage Councils' staff to use the team leader for most routine issues, especially Postal Voting	2	ERO

42	Legal	Failure to comply with Health and Safety legislation	Establishment of H&S working Group with representatives from each floor (involvement with review of office facilities) Report by office manager on H&S issues to monthly management team - Regular staff consultation. Health and safety Committee reformed to now report to Management Team	1	2	2	Review membership of Health and Safety group to cater for staff changes	2	Assessor /ERO
43	Legal	Failure to follow personnel policies	Intranet version of Staff Manual published.	1	1	1	Continuous update of intranet version of guidebook.	1	
44	Legal	Failure to comply with Council Tax legislation	Keep informed of potential changes in legislation through membership of SAA. Regular monthly (at least) team briefing	1	1	1	Review and update of service plan/service manual	1	
45	Legal	Failure to comply with Electoral Registration legislation	Keep informed of potential changes in legislation through membership of SAA and AEA. Regular team briefing	1	1	1	Review and update of service plan/service manual. Check that any legislation changes are fully delivered by supplier	1	ERO
46	Legal	Failure to comply with Rating Valuation legislation	Keep informed of potential changes in legislation through membership of SAA. Regular monthly (at least) team briefing	1	1	1	Review and update of service plan/service manual	1	
47	Physical	Loss of/ damage to buildings	Building Insurance (requirement of lease) Informal discussion with Campbell-Lee. Ensure Buildings and	1	3	3	Formalise availability of alternative workspace. Develop the Business continuity plan. Installing and developing a document management system (introduction from April 2009)	3	Depute Assessor (E) / Office Manager
48	Contractual	Loss of phone services	For temporary loss use email. For loss of supplier appoint alternative supplier within 90 days to retain existing numbers. For loss at critical times use office mobile phones (normally held by technical staff). Publicise selection of numbers to stakeholders by email and (via radio, newspaper advertising) to	1	2	2	Business continuity plan. Use of the improved email system (VJB approval Sept 05/Jan 06) For BCP consider VOIP and freephone to a mobile Also consider use of another locaton if prob lem at a critical time	2	Office Manager
49	Political/Legal	Failure to comply with Best Value	Experienced trained staff. Monitoring of KPIs. Report to VJB. Regular audit of Surveys. Survey arranged for large	1	1	1	Regular staff-survey and follow up training. Customer consultation. Increased written processes. Regular review of processes. Review Service Plan & Office Manual. Regular review of training needs.	1	
49A	political/legal	Failure to meet KPIs	reguar monitoring by management and encouraging commitment by all staff to the KPIs	1	1	1	Some staff have at times not seen the relecvance to KPIs to their own work. The importance of the work of all staff to achieving KPIs is explained at every opportunity		Management team
50	Customer/ Citizen	Failure to provide ROs with Election Registers, absent voters etc	Management team monthly report. Guidance from Depute ERO and Halarose instructions briefings for ERO	2	3	6	Review and update service plan/Manual. Use Halarose to supply additional support. Liase with RRO for Euro elections.	3	Depute ERO
50A	Customer/ citizen	Insufficient staff/time to deal with registration applications received close to the 11 day deadline - for instance large numbers of postal vote applications delivered to the office close to the deadline by one or more political parties.	The risks of late rush are in any case mitigated by proactivity in registration and in postal voting publicity. Team Leader will keep informed of activity by parties and advise ERO accordingly.	2	2	4	There is sufficient staff available over the whole period, including late working at specific times. However, if there is a spate of illness or epidemic, we will re-allocate the workload to non electoral staff that have EROS access for scanning purposes and train them in part of the registration process. Postal Voting timing can be a particular risk because printers operate a queue system and any delay will lose a place in the queue. Candidates and agents will be encouraged to use the Electoral Commission form from the aboutmyvote site and specifically discouraged from using photocopies of any form. All parties should be reminded (via PPP) of the EC guidance on quick return of form to the ERO . Any local party or agent thought to be breaching these rules should be referred to the ERO	4	

50B	Customer/ citizen	AV list for Returning Officers/printers	This is a major pressure point and there has to be early engagement with RO staff well before the election is called. If				There are several ways to approach AV lists from an emergency scenario point of view, but the exact arrangements depend on the required final provision of the AV list. In all cases however, AV lists		Depute ERO
51	Customer/ Citizen/ Legislative	Failure to produce Electoral Registers	Management team monthly report. Guidance from Depute ERO and Halarose instructions briefings for ERO	1	3	3	Review and update service plan/Manual. Use Halarose to supply additional support	3	Depute ERO
51A	Customer/ citizen/ legislation	timing of registers and av lists to parties can cause unnecessary work at election time which may interfere with other	Parties may ask for lists and registers at any time in the run up to the election	2	2	4	We should for every election agree with parties (perhaps jointly with the RO or through IEMB) that we will produce absent voters' lists for political parties on three occasions (dates to be agreed) in	4	ERO
51B	Customer/ citizen	Local Election during canvass (including Community Council)	The reorganisation of ER Staff into a single team allows further flexibility (August 2009) which should allow	2	2	4	Review effect of restructure in Late 2010	4	ERO
51C	Customer/ citizen/ legislation	Election during canvass	The "churn" caused by canvass activities is increased by political activity - e.g. poll cards will be based on out of date register but political activists will be indentifying the same changes that the canvass forms are designed to identify potentially confusing the elector	2	3	6	The PPE Act 2009 addresses SOME of the issues - we can now treat a canvass return as a rolling register application but canvass deletions from the register cannot be made without other sources of evidence. The EROS system is set up to not action deletions from the canvass until publication; so the register will be "inflated". This issue has been raised with the MoJ and Electoral Commission. It is possible to delay publication date beyond 1st December if an election is called during canvass. There is no assistance from the PPE act for a referendum during canvass. If election is called late in the canvass there will be more manual work in reinstating deletions - this has been raised with Halarose as an issue. Halarose are notified of further development request through User Forum & User Group meetings. Encourage membership of forum by senior ERO staff (and RO staff)	4	ERO
52	Physical	Loss of/damage to equipment (See separate item for IT equipment)	Contents insurance	1	3	3	Review contents insurance. Develop the Business continuity plan.	2	Office Manager
53	Political/ Financial	Failure to comply with Audit Actions	Internal Audit report recommendations/actions agreed by Management Team and VJB. Mileage guidance published on Intranet and in use. New Financial Regulations approved Nov 06. New mileage claim guidance Oct 06	1	2	2	New internal audit report notified to VJB in June 08	2	
54	Political/ Social/ Environmental	Loss of local employment		1	1	1		1	
55	Economic/ Legal	Absence of/Inadequate insurance policies	Liaise with Clackmannanshire Council Finance department	1	3	3	Review of all insurances annually	3	
56	Technological	Hardware becomes obsolete	Replace as required (see IT strategy)	1	2	2	Keep informed of Hardware options (IT to report on the options by December 2009- Done see VJB rept Feb 2010)	2	
57	Technological	Software becomes obsolete/ inefficient	Expertise within IT Team - continuously review software capabilities and staff needs. IT training organised in line with other training/development	2	2	4	Set up intra office working groups to allow improved communication between users and IT Team. Regular review of IT Team's training needs.	4	
58	Technological	Computer virus attack	Strict back up regime. Complemented by mirror site at Onyx, Springburn. IT Team awareness of anti virus measures. Regular update of virus checking. Email/internet policy and guidance. Firewall at Campbell-Lee. Firewall at links to the 3 Councils - Electoral Mirror in Stirling	1	3	3	Nov/Dec 09 - Additional protection as recommended by IT manager installed (to avoid a single point of failure in existing firewall)	3	IT team

59	Technological	Reliance on third parties for support	Continuing dialogue with main suppliers. Project team to help with communications between suppliers and users. Ensure that we are able to have workarounds if necessary by not having total reliance on any one supplier or one system.	3	3	9	Reduce the risks by having escrow agreement. Investigate other available suppliers for new parts of the system to reduce dependence on any one supplier.	6	
60	Environmental	Build-up/waste of print cartridges		1	1	1	develop disposal policy	1	
61	Environmental	Inefficient use of resources	Monthly meeting with accountant and Office manager. Joint Framework agreement agreed. Use tendering where appropriate.	2	2	4		4	
62	Environmental	Build-up/waste of obsolete PCs	Disposal Arrangements made for nominal fee	2	2	4		2	
63	Financial	Lack of funds/budget cuts	Monthly meeting with accountant and Office manager. Early preparation of Budget - 3 year budgeting	2	2	4		4	
64	Physical	Loss of power	Main systems protected by mirroring	1	3	3		2	IT team
65	Physical	Acts of terror		1	3	3	Business continuity plan	2	
66	Physical	Severe weather	Snow clearing arrangements in place since 2006/07	1	2	2		2	Office Manager
67	Contractual	Failure to achieve best value in procurement		1	2	2	use tender process and joint Council framework agreements	1	
68	Contractual	Poorly specified contracts		2	2	4	use tender process and joint Council framework agreements	2	
69	Contractual	Default in contracts		2	1	2		2	
70	Contractual	Failure of support services		1	1	1		1	
71	Environmental/ Physical	Insufficient parking space		1	1	1	Monitor car parking problems	1	
72	Environmental/ Physical	Vandalism	Security systems	2	1	2		2	
73	Political/Legal	being involved in third party actions arising from holding data that is not really needed.	Document retention and disposal policy agreed by management team and VJB (Sept 06) ; to ensure documents are held only for as long as needed. Document retention and disposal policy implemented	2	2	4	Review the Document Retention and disposal policy as required	2	
74	Legal	Change to Fire regulations	Fire risk assessment has been carried out. See separate Fire Risk assessment	1	2	2	Ensure all new staff have attended fire training. Review risk assessment at least annually	2	
74A	Legal/political	Court Action by Prisoners in run up to elections	establish "Caveats" with all local Courts and Court of Session	2	2	4	Keep in touch with legal dept. of Clacks Council on this issue	4	
75	Environmental/ Physical	Window limiters can be overridden (needed to allow emergency use), but if opened to far in normal use this could be a danger particularly if someone has to over-reach to close	Staff have been instructed not to push windows beyond limiters. Following review by H & S Committee window catches/limiters have been tightened	1	2	2	Tightening catches has solved the problem but if it recurs consider window closing aids such as additional handles nearer the pivot point	2	
76	Legal	lack of signage for disabled/ramp access to building	Existing sign gives phone number and web address. Additional signage added at beginning of ramp to indicate access (2007).	1	2	2		2	
77	Physical	Old roll up cabinets - risk of sudden release of catch	Review of cabinet uses carried out in 2008. Cabinets replaced	2	2	4	replacement with modern cabinets. Meanwhile warning notices on any remaining roll up cabinets.	2	
88	External	Lack of experience or knowledge in Electoral Services	High possibility of serious error affecting all users- mitigated by mirroring and backups but it requires all users to report errors quickly	3	2	6	Work with Halarose to improve insulation of councils from each other and from ERO	4	ERO/Depute ERO

89	External	Council Network Failure	built in resilience to system but some parts depend on speedy resolution by BT	1	2	2	Ensure named contacts available at critical times	2	IT team
90	External	Late direction by IEMB	Membership of IEMB (directly or through SAA) to influence and keep in touch with possible late changes	2	2	4			ERO
91	External	Out of date Corporate Address Gazetteer resulting in moving away from data standards goals	Use Assessor's address and number. Ensure that new Council Tax properties are added to CT and EROS systems with reference to the Polling District	2	2	4	We will continue to assist CAGs with data from our systems to aid in their awareness of completeness of individual properties and verification of addresses		Assistant Assessors and Depute ERO
92	External	IT Supplier not having a Business Continuity Plan in place resulting in loss of IT System		2	3	6	Check at tender stage that all critical suppliers have a BCP in place. If an existing Contractor does not have one in place, then request that they do so. If that is not possible then look to switch supplier		Assessor & Office Manager

The risks below refer to Electora Performance Standards - they are shown here to indicate that the controls and further mitigations should ultimately become embedded in what we do and how we do it. Note that the performance standards required can change and the intention is to continuously improve processes and evaluation.

78	Performance Standards (ER)	not meeting or not exceeding Performance standard 1: Using information sources to verify entries on the register of electors and identify potential new electors	Arrange regular meetings with Councils at high level to ensure all relevant sources are identified. Ensure good links between Assessors systems data and ER systems, to pick up new properties. Establish and maintain contacts with private sector landlords and social landlords.	2	2	4	establish electronic links for as many sources as practicable. Follow-up on citizenship information by contact ing new citizens directy in addition to attedance at ceremonies	4	ERO/Depute ERO/Team Leader
79	Performance Standards (ER)	not meeting or not exceeding Performance standard 2: Maintaining the property database	Ensure Assessor's database has good links with the ER database. Crossmatch property databases with the local CAGs	2	2	4	development of CAG and GIS links to help meet Data standards	4	ERO/Depute ERO/Team Leader
80	Performance Standards (ER)	not meeting or not exceeding Performance standard 3: House-to-house enquiries	Canvass areas identified annually and maintained on database. Reporting functions allow previous years % responses to be maintained for analysis. Written instructions and all canvassers have to attend a training session prior to commencing work. Performances monitored. Annually canvass reviewed to try and improve our responses and the number of canvassers employed and the quality of the canvass	2	2	4	increase use of GIS system - Use of a formal plan for all activities and identify the required budget. Convert existing Service Plan into the template preferred by the Electoral Commission	4	ERO/Depute ERO/Team Leader

81	Performance Standards (ER)	Not meeting or not exceeding Performance standard 4: Maintaining the integrity of registration and absent vote applications	Use the written plan from DAB and supplement by local guidance, training and advice. Ensure staff are aware of their registration areas and can access assessor's data to identify multi-registration addresses. Check Council Tax lists as often as available (and other council records when can be supplied) differences are identified and enquiries made, electors reviewed. Any incomplete applications are sent further enquiries an and suspicious applications refered to senior member of staff . SPOC is contacted once a year by ERO or Depute ERO in respect of general issues even if there is no suspected fraud. Documents are retained in accordance with retention/disposal policy which requires that electoral forms are retained for a little longer than the life of the register, and absent voter forms are retained until superseded.	2	2	4	review the written plan and supplementary advice to create a single document. Incorporate into the written plan a notional threshold number of electors or absent voters as a failsafe position despite the availablility of detailed records of each property.	2	ERO/Depute ERO/Team Leader
82	Performance Standards (ER)	Not meeting or not exceeding Performance standard 5: Supply and security of the register and absent voter lists	A list of all recipients of the register and all sales is maintained. Any queries on format or quality must be refered to senior staff to investigate and respond. If recipient is dissatisfied with the response they should be advised of the formal complaints procedure and any such complaint will be logged and dealt with. List of places of publication maintained and published on website. Libraries etc annually issued with guidelines and relevant staff trained in supervision.	2	2	4	establish a log of initial queries and complaints below the level of formal complaint to ensure that any suggestions are considered before next publication	4	ERO/Depute ERO/Team Leader

83	Performance Standards (ER)	Not meeting or not exceeding Performance standard 6: Public awareness strategy	Regular meetings with Returning Officer staff and communications staff in councils to establish and develop strategy. Budget identified in advance (jan/feb) and used as deemed appropriate annually. Participation with other ERO's and Electoral Commission to try and maximise efficient use of resources. different target groups e.g. ethnic minority electors, attainers, staff, disabled etc. The approach is to use a wide range of efforts to target the various groups. Use is made of Council contacts and newspapers, Newsletters, Clubs, local Radio, and direct contact with other organisations which appear to have good contacts with the target audiences.	3	2	6	The main difficulty is measuring results or success of the participation. Keep refreshing the activities and identify new contacts. Although Budget process is from January, in fact the process begins in July when the previous years spending is fully analysed and any likely changes need to be identified form then until after the canvass. In this way the EC form for spending will directly feed into the EC form for planning.	4	ERO/Depute ERO/Team Leader
84	Performance Standards (ER)	Not meeting or not exceeding Performance standard 7: Working with partners	Regular Electoral Registration Committee meetings with other Scottish EROs, meetings with local RO & communication staff, other council services and electoral system user group meetings (UK, Scottish and local). Regular press releases on various topics and use of community newspapers, websites , e.mail etc. continuing to be developed. Involvement with local ROs and also at national level through AEA, IEMB. Contacts with Scottish Governmnet , Scotland Office, MOJ, and Electoral Commission through SAA and separately	1	1	1	Most suggestions made so far to Electoral Commission unfruitful and slow progress with some council services hinders, but continue to work on these to improve usefulness. Tendency for governmnet departments to have a high turnover so regular contact is essential. H110+H111	1	ERO/Depute ERO/Team Leader
85	Performance Standards (ER)	Not meeting or not exceeding Performance standard 8: Accessibility and communication of information	We annually subscribe to a translation service and all issued envelopes as well as some forms carry advice in 5 languages that translations are available. Registration is encouraged by web/text and telephone as well as by post/ Telephone and e.mail contact details maintained and used as alternative method of communication. Contacts established with local representative and social groups	2	2	4	We have continually requested that Electoral Commission further develop translation of forms into all EC languages and more minority ethnic languages used by Commonwealth citizens. Use Council expertise to keep upto date with shifts in ethnic and other minorities in the area. Be aware of establishment of new contact groups (both locally and nationally). Use SAA meetings to encourage contact with national interest groups (e.g disability groups)	4	ERO/Depute ERO/Team Leader

86	Performance Standards (ER)	Not meeting or not exceeding Performance standard 9: Planning for rolling registration and the annual canvass	Staff have been provided with guidance on actions to be taken to maximise registration. Resources are available annually for both canvass & rolling registration tasks. Monitoring of returns takes place and further actions implemented as appropriate. Procedures and performance is evaluated internally and reports made to Management Team and Valuation Joint Board . Performance indicator statistics etc made available to Electoral Commission and statistics supplied to Boundary Commission and others as requested. Early set up of printing and stationary supplies and internet/phone registration. Back up of large in house printing if needed.	1	3	3	Review canvass annually and compare methods with other EROs. Keep contact through AEA with exemplary authorities in England as well as through SAA with <u>all</u> Scottish EROs	3	ERO/Depute ERO/Team Leader
87	Performance Standards (ER)	Not meeting or not exceeding Performance standard 10: Training	Written instructions available to all staff and on-line help available on Electoral system and from suppliers helpdesk (excellent service). When amendments to system or legislation guidance is updated and staff notified. Feedback always requested from staff and annually canvass and rolling registration procedures are reviewed. By liaison with other EROs , Halarose User Groups members etc system and guidance can be developed in cooperation with other EROs & ROs	2	2	4	Previous attempts to encourage staff to undertake formal qualifications have been unsuccessful but will be retried as staff turnover allows - One senior member of staff now undertaking the AEA course. Involvement of more ER staff in Halarose user groups, AEA and EC seminars, and Halarose on line forum.	4	ERO/Depute ERO/Team Leader

Red text indicates fairly recent new items or comments

indicates ER performance standards

indicates Electoral (particularly affecting elections from 2009)

indicates Health and Safety

See separate Fire Risk Assessment

AGENDA ITEM 6

VALUATION JOINT BOARD FOR CENTRAL SCOTLAND

Subject: Capability Policy
Meeting: Central Scotland Valuation Joint Board
Date: 10th September, 2010
Author: Brian Byrne, Assessor/Electoral Registration Officer

1.0 Introduction

As Clackmannanshire Council provides Human Resources/Personnel services to the Valuation Joint Board, the Board generally adopts the Human Resources policies of Clackmannanshire Council. However, in practice these policies have to be interpreted in terms of the management and governance structure of the Assessor's Office and the Joint Board.

It is intended over the next year to review all such policies where such interpretation may lead to confusion; so that a specific Valuation Joint Board wording is established.

2.0 Capability Policy

The Capability Policy of Clackmannanshire Council has now been rewritten as a Board specific policy to take account of the Board's governance structure and in particular the legal requirements for dealing with an Assessor or with Deputy Assessors appointed by the Board under Section 27(2) of the Local Government Etc. (Scotland) Act 1994. As the Capability Procedure could ultimately result in dismissal such statutory considerations must be reflected in the policy.

Section 27(6) of the Local Government Etc. (Scotland) Act 1994

An assessor or deputy assessor appointed under this section shall hold office during the pleasure of the valuation authority but shall not be removed from office (or required to resign as an alternative thereto) except –

- (a) by a resolution of the authority passed by not less than two-thirds of the members present at a meeting of the authority the notice of which specifies as an item of business the consideration of the removal from office of the Assessor or his being required to resign; and
- (b) with the consent of the Secretary of State,

and before deciding whether or not to give such consent the Secretary of State shall give the authority and the assessor an opportunity of being heard by a person appointed by the Secretary of State.

Appendix 1 shows the currently used Clackmannanshire Council Policy while Appendix 2 shows the proposed Board specific version.

5.0 Recommendations

The Valuation Joint Board is asked to approve the Capability Policy and Procedure.

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Brian Byrne
2nd September, 2010

Appendix

1.0 CSVJB - Capability Policy & Procedure

2.0 Clackmannanshire Council – Capability Policy & Procedure

Appendix 1

Capability Policy

1.0 Introduction – Policy Statement

1.1 Situations can occur where an employee's overall performance is below acceptable standards due to a genuine lack of capability or competence rather than deliberate non-compliance with the standards required. While such a situation would require to be addressed as the employee may be trying hard to do their job well it would be inappropriate to apply disciplinary procedures.

1.2 Such situations can arise because of:-

- ❖ organisational change
- ❖ change of job content (perhaps as a result of changes to service provision or new technology)
- ❖ an employee having been redeployed or promoted
- ❖ lack of training
- ❖ personal factors affecting the individual's performance
- ❖ ill health or development of a disability
- ❖ lack of understanding of remit

The Capability Procedure will deal with those cases where an employee is lacking in some area of knowledge, skill or ability and as a result is unable to carry out their duties to the required standard.

The Capability Procedure is distinct from the Employee Appraisal and should not be used as a substitute. The procedures, however, do not exist in isolation and can be used in parallel.

Where role redesign is identified as the potential cause of incapability, the case will be carefully considered by the manager with advice from Clackmannanshire Human Resources to determine whether action under the redeployment or redundancy procedures is appropriate rather than under the Capability Procedure.

If it appears that the unacceptable performance is due to a lack of effort or wilful misconduct the Disciplinary Procedure may be invoked. In each case, the procedure involved will be made clear to the employee.

Employees will have a right to be represented at each stage of the formal Capability Procedure by a trade union representative or other representative of their own choosing.

Capability Procedure

2.0 The purpose of the Capability Procedure:

The purpose of this procedure is to:

- ❖ provide a fair and consistent procedure for dealing with capability problems (including those employees who have a disability, resulting from an injury or illness while employed by the Council)
- ❖ assist employees to improve their performance and reach an acceptable standard wherever possible by providing support and training
- ❖ ensure employees are aware of the standards expected of them
- ❖ assist the organisation to operate effectively.

3.0 Application of the Procedure

3.1 Informal Process

The Capability Procedure should not prevent the normal line management process of addressing performance issues through providing support and guidance in order to achieve improvement.

Line managers should maintain records of significant performance issues, assistance and training given and review of performance in all cases should formal action be required. The employee is entitled to have a copy of such records.

Where the above does not lead to a satisfactory improvement, the formal Capability Procedure will be instigated.

4.0 Formal Procedure

Representation – At all stages of the formal procedure including appeals an employee will be entitled to have a representative present. It will be made clear in advance to the employee and representative that the Capability Procedure rather than Disciplinary Procedure is being used.

Appeals – An employee will have a right of appeal at all stages of the formal procedure. There will be no delay in implementing management decisions pending an appeal, although they may subsequently be amended as a result of the appeal hearing.

4.1 Stage 1 – Formal Capability Meeting

Where an employee is failing to perform to an acceptable standard despite guidance and assistance at the informal stage, a formal capability meeting will be arranged by the line manager. The employee should be given written notice of the meeting which will include:-

- a) the fact that the matter is being referred to Stage 1 of the Capability Procedure – a formal capability meeting
- b) clear details of the shortfall in performance and supporting documentation
- c) details of any informal action taken so far
- d) the right to representation
- e) details of where and when the meeting will take place

Notice of the meeting should normally be given at least five working days in advance. Where an employee requests additional time for the purposes of having a representative available, a reasonable extension should be granted.

Procedure to follow at meeting

During the meeting the employee should be clearly told of the shortfall in performance and precisely the performance standard expected. The employee should be advised of the consequences of not achieving the standard which may ultimately be redeployment to an alternative post or termination of employment. The employee must be given the opportunity to answer the points raised and to explain any difficulties they might be having. If they state that performance problems could be due to ill health or a long term condition which may be covered under the Disability Discrimination Act (DDA) a referral should be made to Occupational Health via Clackmannanshire Human Resources. Where a condition is covered under the DDA reasonable adjustments will need to be made and this should be discussed with your appropriate HR Adviser.

An action plan should be discussed and drawn up detailing the standards required and method of achieving improvement, if appropriate. Methods of improvement should be discussed and may include training, working under close supervision or agreeing changes in duties on a temporary basis. A reasonable timescale for improvement and review should be set depending on individual circumstances. During this period mechanisms for support and monitoring must be put in place by the line manager.

Conclusions from the meeting, including the action plan, and review date will be formally recorded in writing and a copy given to the employee within 5 working days of the meeting. The employee will be given details of the right to appeal.

If the employee accepts that he/she cannot fulfil the requirements of the job, alternative options should be discussed. These may include a permanent redefinition of duties on an appropriate grade, redeployment or mutual termination.

4.2 Appeal Against Decision at Stage 1

An appeal against the outcome of Stage 1 should be lodged within 10 working days of receipt of the capability review letter to the Assessor who will arrange to hold an appeal hearing within 20 working days of receipt of the appeal letter. The appeal will be heard by the Assessor or nominated officer.

Procedure at appeal

The employee will present his/her case, including the reason for the appeal. The manager will then present his/her information and justification for taking such action. Both the manager and employee will have the opportunity to ask questions. At the conclusion of the hearing or following an adjournment to deliberate, the Chair will indicate his/her decision to the member of staff and confirm this in writing to the employee within 5 working days.

4.3 Satisfactory Standard of Performance Achieved to Stage 2 Review

If a satisfactory standard of performance is achieved a reasonable time before the scheduled formal meeting, a meeting should be convened and the employee advised that a satisfactory standard of performance has been achieved and is expected to be maintained. This will be formally recorded and a copy given to the employee. In order to ensure that a satisfactory standard of performance is maintained there will be a period of monitoring of 3 months.

If a satisfactory standard of performance is maintained during this 3 month period, the employee will be formally notified in writing and no further action will be taken.

If it is not maintained during the 3 month period, the employee will be formally notified of this in writing and the procedure will be taken to the next stage.

4.4 Stage 2 – Formal Review Meeting

The employee should again be given written notice of the formal review meeting by his/her line manager, which will include:-

- a) the procedure and stage being used
- b) the intention to review the action plan
- c) the right to representation
- d) details of where and when the meeting will take place

Notice of the meeting should normally be given at least five working days in advance. Where an employee requests additional time for the purposes of having a representative available, a reasonable extension should be granted.

Procedure at Meeting

Satisfactory standard of performance achieved

Following a review of the action plan, if the desired improvement has been achieved the employee should be advised that a satisfactory standard of performance has been achieved and is expected to be maintained. This must be formally recorded and a copy given to the employee. In order to ensure that a satisfactory standard of performance is maintained there will be a period of monitoring of 3 months.

If a satisfactory standard of performance is maintained during this 3 month period, the employee will be formally notified in writing and no further action will be taken.

If it is not maintained during the 3 month period, the employee will be formally notified of this in writing and the procedure will be taken to the next stage.

Satisfactory standard of performance not achieved

If the required standard of performance is not achieved, the employee should be advised of the continued areas of under performance. Evidence should be available. The methods of improvement should be reviewed and additional or alternative methods considered. Again the employee should be given the opportunity to answer points raised or explain any problems.

It may be appropriate at this stage to again discuss alternative options including redeployment and in this case the redeployment procedure should be referred to. Formal notification should also be given that alternative options such as mutual termination and capability dismissal will be considered at the end of the next stage.

Following the formal review meeting a formal letter will be issued to the employee detailing the continued areas of under performance, expected improvement, further assistance to be given, timescales for achievement and consequences of non achievement.

4.5 Appeal Against Decision at Stage 2

An appeal against the decision at stage 2 should be lodged within 10 working days of receipt of the capability review letter to the Assessor who will arrange to hold an appeal hearing within 20 working days of receipt of the appeal letter. The appeal hearing will be held by the Assessor or nominated officer.

The appeal procedure detailed in Stage 1 Appeal should be followed.

4.6 Stage 3 – Review Meeting

Satisfactory standard of performance achieved

If the reviewing manager is not satisfied that the required improvement has been achieved, the employee should be given written notice, by the reviewing manager, to attend a review meeting which will include:-

- a) the procedure and stage being used
- b) the name of the manager chairing the meeting
- c) the intention to review the action plan
- d) the right to presentation
- e) details of where and when the meeting will take place

Notice of the meeting should normally be given at least five working days in advance. Where an employee requests additional time for the purposes of having a representative available, a reasonable extension should be granted. The meeting should be conducted by the Assessor if not previously involved. Advisers from Clackmannanshire Human Resources and Legal Services should be in attendance at the meeting.

At this meeting the reviewing manager will clearly state continued areas of underperformance and the employee will be given the opportunity to answer the points raised. The Assessor will then make a decision. In exceptional circumstances, the Assessor may decide that an improvement in performance to an acceptable level may be achieved by extending the assistance offered and timescale allowed under the previous stage. Only one such extension can be agreed.

If it is decided that performance will not reach an acceptable level in the current post further consideration will be given to redeployment opportunities. The appropriate notice period will be given during which time redeployment opportunities will be investigated. If no suitable redeployment is available or the employee declines reasonable redeployment, contractual notice of dismissal on the grounds of capability will be given. The reasons for the dismissal, the last date of employment, any financial implications, e.g. Pay in lieu of notice, and to whom and within what time limit any appeal should be made will be confirmed to the employee in writing within five working days.

In exceptional circumstances where the case is complex and requires further investigation, the convenor may adjourn the meeting. The meeting shall be reconvened within 5 working days unless a longer adjournment is agreed by all parties involved.

Where an extended timescale is given

Where it is agreed to allow one further period in which to improve, a final review date will be set and depending on the outcome the appropriate action within Stage 3 taken.

4.7 Stage 3 – Appeal

An appeal against any decision at Stage 3 should be lodged within 10 working days of receipt of the final capability review letter. The appeal should be lodged with the Assessor who will arrange to hold an appeal hearing within 20 working days of receipt of the appeal letter.

Action short of dismissal

In the case of a decision which is short of dismissal the appeal shall be heard by the Assessor if not involved in the original hearing. Representatives from Clackmannanshire Legal Services and Human Resources will attend.

At the conclusion of the appeals hearing the Assessor, shall indicate to the individual the decision of the hearing. The decision will be confirmed in writing, within 5 working days.

This stage ends the right of appeal within the Board's procedures.

Dismissal

An appeal against dismissal shall be heard by the Appeals Committee of the Board. The appeal should be lodged with the Assessor by the member of staff in writing within 10 working days of receipt of the final capability review letter. The appeal will be heard within 30 working days of the submission of the appeal.

The Appeals Committee of the Board shall conduct the appeal in accordance with the Standing Orders of the Board and the relevant Code of Practice. The Committee will be advised by Clackmannanshire Human Resources and Legal Services. At the conclusion of the Appeals Committee Hearing, the Convenor of the Appeals Committee shall indicate the decision of the appeals committee to the individual. This decision will be confirmed in writing within 5 working days of the conclusion of the Appeals Committee by the Assessor. This shall be the final right of appeal within the Board's procedures.

Nothing in this procedure shall be in derogation of an individual's statutory rights.

5.0 Capability Procedure – Statutory Depute

- ❖ In the event that a capability matter is raised concerning a Statutory Depute Assessor, the Assessor will carry out the stages of the procedure.
- ❖ Where a formal capability meeting is considered necessary, the Assessor shall make arrangements to commence a formal meeting.
- ❖ The Assessor may request representatives of Clackmannanshire Human Resources and of Legal Services to attend to provide advice.
- ❖ Any appeals against the decision would be heard by the Valuation Joint Board. Any such appeal will be heard in accordance with this procedure and the Standing Order of the Joint Board and relevant statutory considerations.

6.0 Capability Procedure – Assessor

- ❖ In the event that a capability matter is raised against the Assessor, the Clackmannanshire Human Resources will make arrangements to progress the procedure, in line with the Statutory Orders of the Valuation Joint Board and relevant statutory considerations.

Capability Policy

1.0 Introduction – Policy Statement

1.1 Situations can occur where an employee's overall performance is below acceptable standards due to a genuine lack of capability or competence rather than deliberate non-compliance with the standards required. While such a situation would require to be addressed as the employee may be trying hard to do their job well it would be inappropriate to apply disciplinary procedures.

1.2 Such situations can arise because of:-

- ❖ organisational change
- ❖ change of job content (perhaps as a result of changes to service provision or new technology)
- ❖ an employee having been redeployed or promoted
- ❖ lack of training
- ❖ personal factors affecting the individual's performance
- ❖ ill health or development of a disability
- ❖ lack of understanding of remit

The Capability Procedure will deal with those cases where an employee is lacking in some area of knowledge, skill or ability and as a result is unable to carry out their duties to the required standard.

The Capability Procedure is distinct from the Employee Review and Development Programmes and should not be used as a substitute. The procedures, however, do not exist in isolation and can be used in parallel.

Where role redesign is identified as the potential cause of incapability, the case will be carefully considered by the manager with advice from Human Resources to determine whether action under the redeployment or redundancy procedures is appropriate rather than under the Capability Procedure.

If it appears that the unacceptable performance is due to a lack of effort or wilful misconduct the Disciplinary Procedure may be invoked. In each case, the procedure involved will be made clear to the employee.

Employees will have a right to be represented at each stage of the formal Capability Procedure by a trade union representative or other representative of their own choosing.

The purpose of the Capability Procedure:

The purpose of this procedure is to:

- ❖ . . . provide a fair and consistent procedure for dealing with capability problems (including those employees who have a disability, resulting from an injury or illness while employed by the Council)
- ❖ . . . assist employees to improve their performance and reach an acceptable standard wherever possible by providing support and training
- ❖ . . . ensure employees are aware of the standards expected of them
- ❖ . . . assist the organisation to operate effectively.

Capability Procedure

3.0 Application of the Procedure

3.1 Informal Process

The Capability Procedure should not prevent the normal line management process of addressing performance issues through providing support and guidance in order to achieve improvement.

Line managers should maintain records of significant performance issues, assistance and training given and reviews of performance in all cases should formal action be required. The employee is entitled to have a copy of such records.

Where the above does not lead to a satisfactory improvement, the formal Capability Procedure will be instigated.

4.0 Formal Procedure

Representation - At all stages of the formal procedure including appeals an employee will be entitled to have a representative present. It will be made clear in advance to the employee and representative that the Capability Procedure rather than Disciplinary Procedure is being used.

Appeals – An employee will have a right of appeal at all stages of the formal procedure. There will be no delay in implementing management decisions pending an appeal, although they may subsequently be amended as a result of the appeal hearing.

4.1 Stage 1 – Formal Capability Meeting

Where an employee is failing to perform to an acceptable standard despite guidance and assistance at the informal stage, a formal capability meeting will be arranged by the line manager. The employee should be given written notice of the meeting which will include:-

- a) the fact that the matter is being referred to Stage 1 of the Capability Procedure – a formal capability meeting
- b) clear details of the shortfall in performance and supporting documentation
- c) details of any informal action taken so far
- d) the right to representation
- e) details of where and when the meeting will take place

Notice of the meeting should normally be given at least five working days in advance. Where an employee requests additional time for the purposes of having a representative available, a reasonable extension should be granted.

Procedure to follow at meeting

During the meeting the employee should be clearly told of the shortfall in performance and precisely the performance standard expected. The employee should be advised of the consequences of not achieving the standard which may ultimately be redeployment to an alternative post or termination of employment. The employee must be given the opportunity to answer the points raised and to explain any difficulties they might be having. If they state that performance problems could be due to ill health or a long term condition which may be covered under the Disability Discrimination Act (DDA) a referral should be made to Occupational Health via Human Resources. Where a condition is covered under the DDA reasonable adjustments will need to be made and this should be discussed with your appropriate HR Adviser.

An action plan should be discussed and drawn up detailing the standards required and method of achieving improvement, if appropriate. Methods of improvement should be discussed and may include training, working under close supervision or agreeing changes in duties on a temporary basis. A reasonable timescale for improvement and review should be set depending on individual circumstances. During this period mechanisms for support and monitoring must be put in place by the line manager.

Conclusions from the meeting, including the action plan, and review date will be formally recorded in writing and a copy given to the employee within 5 working days of the meeting. The employee will be given details of the right to appeal.

If the employee accepts that he / she cannot fulfil the requirements of the job, alternative options should be discussed. These may include a permanent redefinition of duties on an appropriate grade, redeployment or mutual termination.

4.2 Appeal Against Decision at Stage 1

An appeal against the outcome of Stage 1 should be lodged within 10 working days of receipt of the capability review letter to the Service Manager who will arrange to hold an appeal hearing within 20 working days of receipt of the appeal letter. The appeal will be heard by the Service Manager or nominated officer.

Procedure at appeal

The employee will present his / her case, including the reason for the appeal. The manager will then present his / her information and justification for taking such action. Both the manager and employee will have the opportunity to ask questions. At the conclusion of the hearing or following an adjournment to deliberate, the Chair will indicate his / her decision to the member of staff and confirm this in writing to the employee within 5 working days.

4.3 Satisfactory Standard of Performance Achieved Prior to Stage 2 Review

If a satisfactory standard of performance is achieved a reasonable time before the scheduled formal review meeting, a meeting should be convened and the employee advised that a satisfactory standard of performance has been achieved and is expected to be maintained. This will be formally recorded and a copy given to the employee. In order to ensure that a satisfactory standard of performance is maintained there will be a period of monitoring of 3 months.

If a satisfactory standard of performance is maintained during this 3 month period, the employee will be formally notified in writing and no further action will be taken.

If it is not maintained during the 3 month period, the employee will be formally notified of this in writing and the procedure will be taken to the next stage.

4.4 Stage 2 – Formal Review Meeting

The employee should again be given written notice of the formal review meeting by his / her line manager, which will include:-

- a) the procedure and stage being used
- b) the intention to review the action plan
- c) the right to representation
- d) details of where and when the meeting will take place

Notice of the meeting should normally be given at least five working days in advance. Where an employee requests additional time for the purposes of having a representative available, a reasonable extension should be granted.

Procedure at Meeting

Satisfactory standard of performance achieved

Following a review of the action plan, if the desired improvement has been achieved the employee should be advised that a satisfactory standard of performance has been achieved and is expected to be maintained. This must be formally recorded and a copy given to the employee. In order to ensure that a satisfactory standard of performance is maintained there will be a period of monitoring of 3 months.

If a satisfactory standard of performance is maintained during this 3 month period, the employee will be formally notified in writing and no further action will be taken

If it is not maintained during the 3 month period, the employee will be formally notified of this in writing and the procedure will be taken to the next stage.

Satisfactory standard of performance not achieved

If the required standard of performance is not achieved, the employee should be advised of the continued areas of under performance. Evidence should be available. The methods of improvement should be reviewed and additional or alternative methods considered. Again the employee should be given the opportunity to answer points raised or explain any problems.

It may be appropriate at this stage to again discuss alternative options including redeployment and in this case the redeployment procedure should be referred to. Formal notification should also be given that alternative options such as mutual termination and capability dismissal will be considered at the end of the next stage.

Following the formal review meeting a formal letter will be issued to the employee detailing the continued areas of under performance, expected improvement, further assistance to be given, timescales for achievement and consequences of non achievement.

4.5 Appeal Against Decision at Stage 2

An appeal against the decision at stage 2 should be lodged within 10 working days of receipt of the capability review letter to the Head of Service who will arrange to hold an appeal hearing within 20 working days of receipt of the appeal letter. The appeal hearing will be held by the Head of Service or nominated officer.

The appeal procedure detailed in Stage 1 Appeal should be followed.

4.6 Stage 3 – Review Meeting

Satisfactory standard of performance achieved

If the reviewing manager is satisfied that the required improvement has been achieved the manager should convene a meeting with the employee to advise of this and that a satisfactory standard of performance is expected to be maintained. This must be formally recorded and a copy given to the employee. In order to ensure that a satisfactory standard is maintained there will be a period of monitoring of 3 months.

If a satisfactory standard is maintained during this 3 month period, the employee will be formally notified in writing and no further action will be taken.

If it is not maintained during the 3 month period, the employee will be formally notified of this in writing and a formal meeting convened as detailed below.

Satisfactory standard of performance not achieved

If the reviewing manager is not satisfied that the required improvement has been achieved, the employee should be given written notice, by the reviewing manager, to attend a review meeting which will include:-

- a) the procedure and stage being used
- b) the name of the manager chairing the meeting
- c) the intention to review the action plan
- d) the right to representation
- e) details of where and when the meeting will take place

Notice of the meeting should normally be given at least five working days in advance. Where an employee requests additional time for the purposes of having a representative available, a reasonable extension should be granted. The meeting should be conducted by the Service Director or Head of Service if not previously involved. Advisers from Human Resources and Legal Services should be in attendance at the meeting.

At this meeting the reviewing manager will clearly state continued areas of underperformance and the employee will be given the opportunity to answer the points raised. The Service Director or Head of Service will then make a decision. In exceptional circumstances, the Service Director or Head of Service may decide that an improvement in performance to an acceptable level may be achieved by extending the assistance offered and timescale allowed under the previous stage. Only one such extension can be agreed.

If it is decided that performance will not reach an acceptable level in the current post further consideration will be given to redeployment opportunities. The appropriate notice period will be given during which time redeployment opportunities will be investigated. If no suitable redeployment is available or the employee declines reasonable redeployment, contractual notice of dismissal on the grounds of capability will be given. The reasons for the dismissal, the last date of employment, any financial implications, e.g. Pay in lieu of notice, and to whom and within what time limit any appeal should be made will be confirmed to the employee in writing within five working days.

In exceptional circumstances where the case is complex and requires further investigation, the convenor may adjourn the meeting. The meeting shall be reconvened within 5 working days unless a longer adjournment is agreed by all parties involved.

Where an extended timescale is given

Where it is agreed to allow one further period in which to improve, a final review date will be set and depending on the outcome the appropriate action within Stage 3 taken.

4.7 Stage 3 – Appeal

An appeal against any decision at Stage 3 should be lodged within 10 working days of receipt of the final capability review letter. The appeal should be lodged with the Head of Human Resources who will arrange to hold an appeal hearing within 20 working days of receipt of the appeal letter.

Action short of dismissal

In the case of a decision which is short of dismissal the appeal shall be heard by the Service Director if not involved in the original hearing. Representatives from Legal Services and Human Resources will attend.

At the conclusion of the appeals hearing the Service Director, shall indicate to the individual the decision of the hearing. The decision will be confirmed in writing, within 5 working days.

This stage ends the right of appeal within the Council's procedures.

Dismissal

An appeal against dismissal shall be heard by the Appeals Committee of the Council. The appeal should be lodged with the Head of Human Resources by the member of staff in writing within 10 working days of receipt of the final capability review letter. The appeal will be heard within 30 working days of the submission of the appeal.

The Appeals Committee of the Council shall conduct the appeal in accordance with the Standing Orders of the Council and the relevant Code of Practice. The Committee will be advised by Human Resources and Legal Services. At the conclusion of the Appeals Committee Hearing, the Convenor of the Appeals Committee shall indicate the decision of the appeals committee to the individual. This decision will be confirmed in writing within 5 working days of the conclusion of the Appeals Committee by the Head of Human Resources. This shall be the final right of appeal within the Council's procedures.

Nothing in this procedure shall be in derogation of an individual's statutory rights.

5.0 Capability Procedure - Directors

❖ . . . In the event that a capability matter is raised concerning an Director, the Chief Executive will carry out the stages of the procedure.

❖ . . . Where a formal capability meeting is considered necessary, the Chief Executive shall make arrangements to commence a formal meeting.

❖ . . . The Chief Executive may request representatives of Human Resources and of Legal Services to attend to provide advice.

❖ . . . Any appeals against the decision would be heard by the Appeals Committee of the Council. Any such appeal will be heard in accordance with this procedure and the Standing Orders of the Council.

6.0 Capability Procedure – Chief Executive

❖ . . . In the event that a capability matter is raised against the Chief Executive, the Head of Human Resources will make arrangements to progress the procedure, in line with the procedure agreed by the JNC for Chief Officials.

AGENDA ITEM 7

VALUATION JOINT BOARD FOR CENTRAL SCOTLAND

Subject: Management Team Restructuring
Meeting: Central Scotland Valuation Joint Board
Date: 10th September, 2010
Author: Brian Byrne, Assessor

1.0 Introduction

I propose to establish a new management structure to balance the workload and to assist in a review of the future resources provided to the Assessor by the Valuation Joint Board.

2.0 Background

I am very aware of the financial pressures on the Councils who provide my budget. Although the budget has not risen in real terms over the last five years I am taking this opportunity to review the organisation with the aim of setting the scene for decreasing my overall budget in the next three years (from 2011-12 to 2013/14). Bearing in mind that staff costs amount to almost 80% of my budget a revision of the staffing structure is the main method of decreasing the cost of the organisation.

3.0 Proposals

Appendix 1 shows the proposed changes to the management team structure. There are currently six members of the management team; comprising Assessor and two Deputies, plus two Assistant Assessors and one Deputy Electoral Registration Officer. The proposed structure is a management team of four; comprising Assessor and one Deputy with the addition of one Assistant Assessor and Deputy Electoral Registration Officer. A further consequence of the revised set up is the loss of the vacant Assistant Secretary post.

5.0 Responsibilities

The main change in responsibilities under the revised structure is that all the valuation functions (non domestic rating and council tax) come under one Depute and one Assistant Assessor instead of being split into two divisions

6.0 Restructure Savings

These are savings of £180K as a direct result of removing the three posts of Depute Assessor, Assistant Assessor and Assistant Secretary from the existing structure. If approved these budgets would be removed from the establishment with effect from the 11/12 financial year.

7.0 Other/Future Savings

Although this current review is dealing purely with management team restructuring, future savings in other areas will be investigated. A further staffing review in the future is likely following staff consultation.

8.0 Costs of Removal of Depute Post

There are no direct costs as the post is currently vacant since the retiral of the Depute Assessor in May 2010. Removing this post will have an effect on the workloads and responsibilities of others in the Management Team, most notably, the Assessor and remaining Depute Assessor.

This is a significant change to the workload and responsibilities of the remaining Depute Assessor. A number of Assessors' offices have realigned their remaining Depute's salary when such posts have been removed. In line with that practice and to reflect the likely effects of the change it is proposed that the Depute's salary is increased from the current relationship of 75% of the Assessor's salary to 80% of the Assessor's salary; from CO 29 to CO31 with an annual cost of £5K, with effect from 1st September 2010. This salary has been established following an appreciation of the increased duties and a comparison of comparable Assessor/single Depute salary relationships throughout Scotland, but still results in significant year-on-year savings from the current position of having two Depute Assessors.

9.0 Costs of removal of an Assistant Assessor post

There are one off costs of £57,531 to allow the early retirement of the current post holder and an ongoing annual cost of £663. If approved the lump sum cost would be charged in this financial year. These costs would be off-set against the £180K of restructuring savings.

10.0 Recommendation

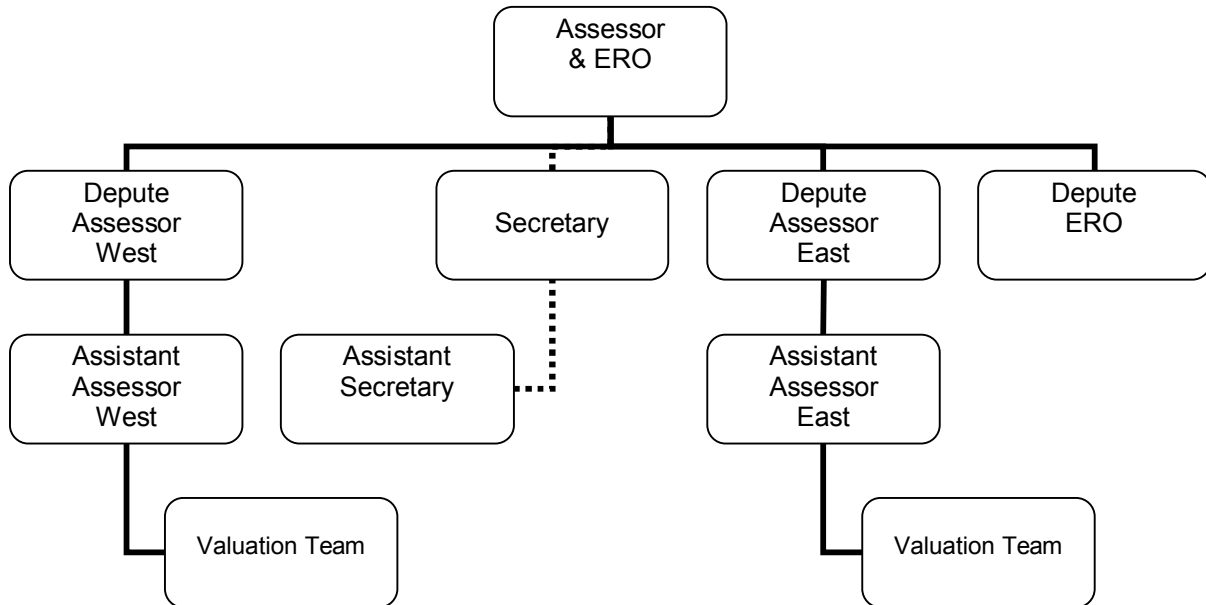
I would seek the Board's approval for these initial changes to the management structure.

Brian Byrne
31st August, 2010

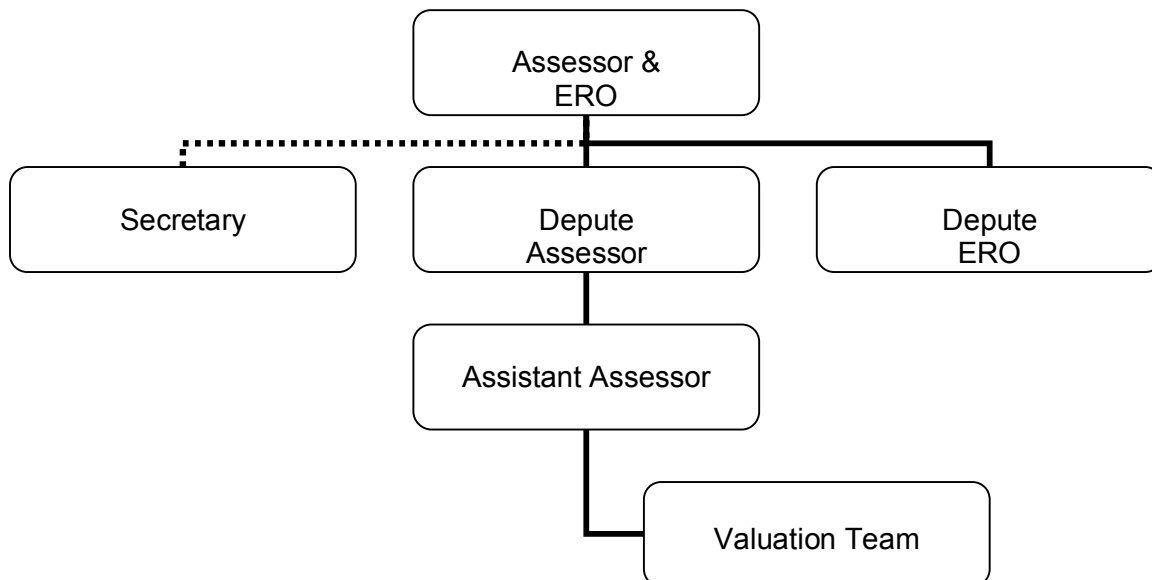
Appendix

1.0 Proposed Management Structure Changes

EXISTING MANAGEMENT STRUCTURE



PROPOSED MANAGEMENT STRUCTURE



AGENDA ITEM 8

VALUATION JOINT BOARD FOR CENTRAL SCOTLAND

Subject: Joint Framework Agreement
Meeting: Central Scotland Valuation Joint Board
Date: 10th September, 2010
Author: Brian Byrne, Assessor

1.0 Introduction

The Valuation Joint Board Standing Orders relating to contracts set out tendering procedures that must be followed before contracts are made. One of the procedures is use of a consortium (para 2(6)): *"Where the Board is a member of a consortium which exists for the purposes of joint purchasing arrangements, and such body has invited tenders for the supply of goods or services, the Board may treat the arrangements entered into by that body as a tender required by these Contract Standing Orders."*

2.0 Background

In 1999 Falkirk Council asked for tenders from interested parties for all the PCs and printers they would require in the coming four years. Tenders had to meet specific criteria for quality, cost, fitness to do the job, and reliability. Successful suppliers were informed that Falkirk Council would not be purchasing all the equipment from one supplier. Suppliers on the approved list might get no orders or just part of an order, but the price they quoted was to be the maximum that Falkirk Council would pay.

This agreement was so successful in driving down prices for Falkirk Council that in 2003, Clackmannanshire Council joined Falkirk Council in this Framework Agreement. The Valuation Joint Board joined in June 2006.

3.0 Current Agreement

The current agreement expires at the end of August 2010, and a new Framework has been agreed.

4.0 New Framework

The Framework Agreement will run from 1st September, 2010 to 31st August 2012, with an option to extend for a further two years to 31st August 2014. The participants are Falkirk Council, Clackmannanshire Council, Stirling Council, Dumfries and Galloway Council, Central Scotland Fire and Rescue Service, and subject to the Board's approval, Central Scotland Valuation Joint Board. The Agreement covers the supply of certain types of Server, PCs, Laptops and Printers. While the Valuation Board level of purchasing is much lower than the other partners, with the new Framework we would continue not only to make savings in equipment costs, but direct use of the Framework would allow Information Services and Administration resources to be more effectively used, as the work on investigation of prices and arranging tendering has been substantially completed within the Framework. A list of the approved firms is attached at Appendix 1 and a copy of the Standard Agreement is at Appendix 2. Not all firms have tendered to supply all types of equipment and all are aware that there is no commitment by any of the partners to purchase from any individual firm.

Any purchase under the agreements would still be subject to the Standing Orders Relating to Contracts, in that if any contract resulting from the Agreement was greater than £50,000 it would need the approval of the Clerk and/or the Valuation Joint Board.

5.0 Recommendation

I would ask the Board to authorise the Assessor to sign the Framework Agreement with each of the listed firms for supply of the relevant equipment that they have each tendered to provide.

Brian Byrne
Assessor

31st August, 2010

Appendices

- 1.0 Approved Firms – Names & Addresses**
- 2.0 Standard Agreement**

Appendix 1

NAMES & ADDRESS OF TENDERS –

For supply of Computer Hardware:

Capito Limited, Caputhall Road, Deans, Livingston EH54 8AS

CCS Media Limited, Old Birdholme House, Derby Road, Chesterfield,
Derbyshire S40 2EX

Computacenter (UK) Ltd., Keith House, 2 Redheughs Rigg, South Gyle,
Edinburgh EH12 9DQ

Dacoll Limited, Dacoll House, Garners Lane, Bathgate EH48 1TP

Dell Corporation Limited, Dell House, The Boulevard, Cairn Road, Bracknell,
Berkshire RG12 1LF

Hewlett Packard Limited, Erskine Ferry Road, Bishopton, Renfrewshire PA7
5PP

Insight Direct (UK) Limited, 9 Merchiston Crescent, Edinburgh EH10 5AL

Misco (trading name of Systemax Europe Limited) 10-14 Darby Close, Park
Farm South Industrial Estate, Wellinborough, Northants NN8 6GS

Probrand Limited, 37 – 55 Camden Street, Birmingham B1 3BP

Stone Computers Limited, 100 Acton Gate, Stafford, Staffordshire ST18 9AA

Viglen Limited, Viglen (HQ) (VHQ), 7 Handley Page Way, Old Parkbury Lane,
Colney Street, St Albans, Hertfordshire AL2 2DQ

XMA Limited, Wilford Industrial Estate, Ruddington Lane, Wilford, Nottingham
NG11 7EP

FALKIRK, STIRLING, CLACKMANNANSHIRE & DUMFRIES & GALLOWAY COUNCILS,
ASSESSOR FOR CENTRAL SCOTLAND & CENTRAL SCOTLAND FIRE AND RESCUE SERVICE

FRAMEWORK AGREEMENT FOR THE SUPPLY OF COMPUTER HARDWARE (C/N: CNS/001/10)

CERTIFICATE

The essence of selective Tendering is that the client shall receive bona fide competitive Tenders from all those Tendering. In recognition of this principle, we certify that this is a bona fide tender, intended to be competitive, and that we have not fixed or adjusted the amount of the tender by or under or in accordance with any agreement or arrangement with any other person. We also certify that we have not done and we undertake that we will not do at any time before the hour and date specified for the return of this Tender any of the following acts :-

- a communicate to a person other than the person calling for those Tenders the amount or approximate amount of the proposed Tender, except where the disclosure, in confidence, of the approximate amount of the Tender was necessary to obtain insurance premium quotations required for the preparation of the Tender;
- b enter into any agreement or arrangement with any other person that he shall refrain from Tendering or as to the amount of any Tender to be submitted;
- c offer or pay or give or agree to pay or give any sum of money or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other tender or proposed Tender for the said work any act or thing of the sort described above.

In this certificate, the word "person" includes any persons and any body or association corporate or unincorporate; and "any agreement or arrangement" includes any such transaction, formal or informal, and whether legally binding or not.

Signed Date

On behalf of

TENDER

We, the undersigned, hereby offer to supply to the Assessor for Central Scotland in accordance with the foregoing Conditions of Contract, the goods/services specified in the foregoing Schedule stated by me/us therein, for the period commencing 1st September 2010 and terminating 31st August 2012 with an option to extend annually for a further period of 2 years from 1st September 2012 to 31st August 2013 and 1st September 2013 to 31st August 2014

Signed Date

Name and Address of Firm

.....

ACCEPTANCE

ASSESSOR Date:- 20

I/We, the undersigned, hereby accept your offer to supply to Assessor for Central Scotland in accordance with the foregoing Conditions of Contract, the goods/services specified in the foregoing Schedule stated by me/us therein, for the period commencing 1st September 2010 and terminating 31st August 2012 with an option to extend annually for a further period of 2 years from 1st September 2012 to 31st August 2013 and 1st September 2013 to 31st August 2014

Assessor for Central Scotland
Hillside House
Laurelhill
Stirling

.....
The Assessor

AGENDA ITEM 9

VALUATION JOINT BOARD FOR CENTRAL SCOTLAND

Subject: Interim Valuation Performance Report
Meeting: Central Scotland Valuation Joint Board
Date: 10th September, 2010
Author: Ian Ballance, Depute Assessor

1.0 Introduction

The Assessor submits a full annual Public Performance Report to the Board and publishes this on the Scottish Assessors' website (saa.gov.uk). This Report covers part of the year and compiled just in advance of the Board's September meeting. It is intended to show how these elements of the Assessor's workload are progressing. You should note that the progress is monitored more frequently by the Management Team – at approximately six week intervals.

2.0 Performance Indicators for Valuation Roll work

These indicators measure how quickly we make changes to the Valuation Roll. This is important for ratepayers who will be keen to avoid a large backdated rates bill. It also assists local authorities to avoid having to issue backdated bills and helps with cash flow.

Period	Target 2010/11	Achieved April - July
Within 3 months	80%	96%
Within 6 months	93%	100%
Over 6 months	7%	0%

3.0 Performance Indicators for Valuation List work

These indicators measure how quickly we add new houses. Taxpayers do not wish to have to pay backdated bills and local authorities are keen to collect Council Tax quickly as this is their main source of income outside grant income. It is also important that the Council Tax List is as up to date as possible as this ensures that the Electoral Register is also up to date.

Period	Target 2010/11	Achieved April - July
Within 3 months	95%	99%
Within 6 months	99%	100%
Over 6 months	1%	0%

4.0 Comments on Performance April - July

An examination of these figures might lead you to the conclusion that we are working considerably in advance of the targets we set and perhaps the targets are too low. However, it should be borne in mind that the targets are set in relation to our work throughout the year and not over a short period such as above. It is expected that performance figures over a shorter period will be comfortably in excess of our end of year figures and this is the case here. Were these figures not as good as the targets set we would have had serious concerns. That is the reason for presenting part year figures, so as a Management Team we are confident that we will reach and in places perhaps exceed the end of year performance which will be presented to the Board at the June 2011 meeting.

5.0 Recommendation

I ask that the Board note the performance achieved at this part year stage.

Ian Ballance
30th August, 2010