

Risk Register

Purpose

1. This paper sets out an updated risk register, reflecting comments made at the October 2018 meeting and subsequent developments.

Discussion

2. The updated risk register is in Appendix A. Specific issues the Commission may wish to consider are:

Risk 11: This is a new risk. The expected Electoral Reform Bill is likely to have significant impacts, affecting term lengths, councillors per ward, conduct of reviews and implementation of recommendations. The Franchise Bill may affect the composition of the electoral roll. At this stage the mitigating actions have not been shown to reduce the risk from H/M but this is seen as short term as the introduction of the Electoral Reform Bill is expected shortly.

Conclusion

3. The Commission is invited to consider the risk register and offer comments.

Secretariat
March 2019

Scottish Boundary Commissions Risk Management Policy

Background

1. The Local Government Boundary Commission for Scotland and the Boundary Commission for Scotland are two separate advisory non-departmental public bodies, the former sponsored by Scottish Government and the latter by Scotland Office. Collectively this paper refers to them as the Scottish Boundary Commissions.
2. A shared Secretariat, staffed by employees assigned from Scottish Government, supports the Scottish Boundary Commissions in their work. Generally, only one review is formally under way at any one time. During a review the lead commission tends to meet monthly while the other commission will meet quarterly or less frequently.
3. This policy sets out the approach to be taken to Risk Management within the Scottish Boundary Commissions.
4. On an annual basis, the Scottish Boundary Commissions will review the operation of the Risk Management Policy, ensuring that the policy is supporting the effective and efficient operation of the organisation, that it helps the business respond to business risks, and that adequate controls are implemented.
5. Any changes to the Risk Management Policy should notified to the sponsor teams in Scottish Government and Scotland Office.

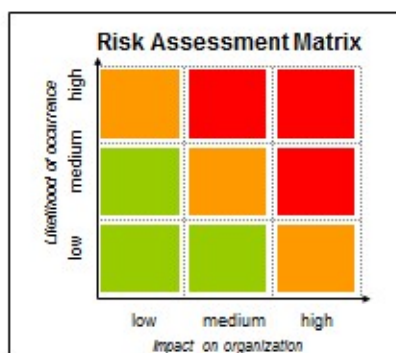
Risk Register

6. The Secretary is responsible for preparing a risk register following guidance set out in the Scottish Government Public Finance Manual, and the HM Treasury Management of Risk – Principles and Concepts (the "Orange Book").
7. The Secretary is responsible for identification of risks and their inclusion on the risk register, consulting sponsor teams and Scottish Boundary Commissions as necessary. The register should be updated at the start of each review and agreed with the Scottish Boundary Commissions.
8. The risk register shows the weightings of each risk for likelihood and impact, each classified as high, medium or low.

	Likelihood
High (H)	High probability of occurrence
Medium (M)	Conceivable might occur
Low (L)	Unlikely to occur

	Potential Impact
High (H)	Risks that can have a major effect on Commission operations. May result in significant financial loss, major disruption to outputs or serious damage to the Commission's reputation.
Medium (M)	Risks that have a noticeable effect on Commission operations. Each will cause a degree of disruption to outputs and may affect budgets.
Low (L)	Risks where the consequences and impact will not be severe and any associated losses relatively small. As individual occurrences they will have a negligible effect on Commission operations.

These are combined to determine the risk category: Red = HH, MH or HM, Amber = MM, HL, LH, Green = LL, ML, LM.



9. When considering the risk register, each Commission has the opportunity to :
 - flag up at an early stage any areas of concern;
 - identify and agree any significant change to the risk register
 - agree appropriate mitigating actions
10. The lead commission during any review should consider the risk register at least quarterly to ensure that appropriate mitigating actions are in place for any risks in the red or amber categories. Both Commissions should review the risk register annually.
11. The risk register lists for each risk mitigating actions, target timescales and any residual risk after these measures are carried out. Where a residual risk remains categorised as red, or where the mitigating actions require additional resource implications not included in the allocated budget, the Secretariat should escalate the risk to the sponsor teams in Scottish Government and Scotland Office for their consideration.
12. The Secretary is considered the risk owner for all risks, and may delegate responsibility to individual staff members as appropriate within the context of normal operations.

Other risks

13. Lower level risks (i.e. those not included on the risk register) will be managed as appropriate by the Secretariat as part of its normal operation.

Further Guidance

14. Further guidance on risk management is available in the Scottish Government Public Finance Manual, and the HM Treasury Management of Risk – Principles and Concepts (the "Orange Book").

Secretariat
October 2018

	Type of Risk	Description	Effect	Likelihood/Impact	Mitigating Action	Target Date	Mitigated likelihood/impact	Notes
1.	T	Outside bodies not supplying necessary data or data of poor quality	Inaccurate decision making resulting from inadequate data	L/H	Maintenance of regular contact with data suppliers. Data quality checks on receipt. Alternative sources of data may be available in some cases. Consider use of NRS published data rather than ERO supplied data. Review relationship with NRS Consider local authority data for forecasts	Ongoing	L/H	Expected transfer of responsibility to Electoral Commission has not happened. Need to pursue MoU
2.	S	Loss of staff with appropriate skills. Unexpected loss of Commissioner	Unable to conduct business to full level of effectiveness.	M/M	Ensure appropriate documentation of procedures, and training in key skills for staff. Ensure recording of the reasons for all decisions taken at each stage Filling of both current commissioner vacancies will increase resilience/reduce likelihood of meeting being inquorate.	Ongoing Ongoing	M/L	Minutes record reasons for decisions 2 Commissioner vacancies now filled
3.	ER	Ineffective public consultation processes.	Loss of stakeholder confidence Damage to reputation of Commission.	L/H	Actively maintain stakeholder relationships. Early engagement with islands councils Provide clear information and guidance to the public on the Commission's work and processes.	Ongoing. Met 3 islands councils June/July 2018	L/M	The Secretariat liaises with other UK Commissions and meets regularly with political parties, the Electoral Commission, EROs and others
4.	ER	Acting outside legislation.	Damage to reputation of Commission Possibility of Judicial review	L/H	Ensure clear internal guidance on powers and duties. Consider need for external legal advice as appropriate.	Ongoing.	L/M	

ER – External Relations; P –Property; S – staff; T – Technical; IR – Islands Review

	Type of Risk	Description	Effect	Likelihood/Impact	Mitigating Action	Target Date	Mitigated likelihood/impact	Notes
5.	ER	Changes to, and events in, external political landscape	Delays to delivery of review milestones eg constraints around announcements.	M/M	Ensure effective liaison between Secretariat and sponsor department in order to build known events into project planning.	Ongoing	M/M	
6.	P/T	Unavailability of offices/theft or failure of equipment/computer systems	Inability to operate from usual offices or possible loss of access to computers, network and data.	L/H	Secretariat Business Continuity Plan Data backups under SCOTS. Ensure appropriate physical security precautions. Migration to SCOTS ensures technical support from Scottish Government. Staff access to alternative working from other offices/home	Ongoing	L/M	.
7.	S	Insufficient staff resource to conduct overlapping reviews	Risk to completion of reviews on time and to sufficient standard. Impact on staff wellbeing.	M/H	Ensure Commission awareness; flag with sponsor department need for contingency resources to bring in temporary staff, create new posts or pay overtime. Liaise with SG recruitment agencies over provision of temporary staff	Ongoing	M/M	Contacted ASA Recruitment who have ready supply of GIS staff – time estimate 1–2 weeks to fill a post. Once the electoral reform legislation content is known an assessment of resource requirements will be undertaken.
8.	ER	Decisions taken by BCS impacting on secretariat resources	Risk to completion of review(s) within statutory deadline	M/M	Project planning and monitoring. Ensure sufficient funding to bring in temporary staff as required	Ongoing	M/M	Future review requirements of BCS remain uncertain

ER – External Relations; P –Property; S – staff; T – Technical; IR – Islands Review

	Type of Risk	Description	Effect	Likelihood/Impact	Mitigating Action	Target Date	Mitigated likelihood/impact	Notes
9.	IR	Expectations of islands councils in light of new legislation not met	Risk to reputation of Commission and that final recommendations not accepted	M/M	Effective communication with councils and consultation with communities. Liaison with SG to keep sighted on progress.	Ongoing	L/M	Initial meetings with councils conducted June/July 2018
10.	IR	Refresh of website not complete in time for public consultation	Undermine expectations of effective consultation	L/M	Project management of refresh to ensure on-time completion; explore contingency arrangement for hosting consultation materials (eg SG portal)	June 2019	L/L	Progress is slower than anticipated but completion still expected in good time for any LGBCS consultation.
11.	ER	Uncertainty over electoral reform legislation content and timing	Affect decision making over review timing (islands review, interim reviews, Scottish Parliament) and requirements.	H/M	Liaison with SG Elections Team to ensure awareness of up-to-date position. Ensure early consideration of Bills content by Commission	Summer 2019	H/M	Legislation is expected to be introduced by May 2019 after which the mitigated likelihood/impact is likely to be M/M