

## Assurance Map, September 2024

| Risk mapping                       | Assurance Tools                                                                                    | Frequency                                    | Who                     | Priority 1.<br>Deliver our statutory functions | Priority 2.<br>Listen to tenants and service users, use their feedback and publish performance information | Priority 3.<br>Work closely with and listen to our stakeholders | Priority 4.<br>Be an effective, efficient and open public body and contribute to public service reform |
|------------------------------------|----------------------------------------------------------------------------------------------------|----------------------------------------------|-------------------------|------------------------------------------------|------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|
|                                    | <b>First Line Management Controls</b>                                                              |                                              |                         |                                                |                                                                                                            |                                                                 |                                                                                                        |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Monitoring staff performance against objectives                                                    | 6-monthly                                    | Line Man                | ✓                                              | ✓                                                                                                          | ✓                                                               | ✓                                                                                                      |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Monitoring group and team work plans                                                               | Quarterly                                    | Directors               | ✓                                              | ✓                                                                                                          | ✓                                                               | ✓                                                                                                      |
| R2, R3, R7, R8                     | Portfolio based structure with engagement plans and case workload oversight by Assistant Directors | Ongoing                                      | A. Director             | ✓                                              |                                                                                                            |                                                                 |                                                                                                        |
| R2, R3, R7, R8                     | Regulation Group casework meetings                                                                 | As needed                                    | A/. Director            | ✓                                              | ✓                                                                                                          |                                                                 |                                                                                                        |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Operating plan & risk register monitoring                                                          | Monthly/<br>Quarterly                        | MT /<br>ARAC /<br>Board | ✓                                              | ✓                                                                                                          | ✓                                                               | ✓                                                                                                      |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Management Team business oversight, including regular meetings, minutes and action log             | Ongoing                                      | MT                      | ✓                                              | ✓                                                                                                          | ✓                                                               | ✓                                                                                                      |
| R2, R3, R7, R8                     | Lessons learned from statutory interventions                                                       | Post-intervene                               | Reg Group               | ✓                                              | ✓                                                                                                          | ✓                                                               | ✓                                                                                                      |
| R2, R4                             | People survey results and action planning                                                          | Annual                                       | MT                      |                                                |                                                                                                            |                                                                 | ✓                                                                                                      |
| R1, R6, R9                         | Budget monitoring                                                                                  | Monthly /<br>Quarterly                       | MT / Board              |                                                |                                                                                                            |                                                                 | ✓                                                                                                      |
| R1, R4                             | Consistent use of a Programme Management approach                                                  | As needed,<br>major projects<br>/ programmes | MT                      |                                                |                                                                                                            |                                                                 | ✓                                                                                                      |
| R2, R3, R4, R6                     | Complaints review for learning log                                                                 | Quarterly                                    | MT                      |                                                | ✓                                                                                                          | ✓                                                               | ✓                                                                                                      |
| R4, R6                             | Directors' certificates of assurance to CEO                                                        | Annual                                       | Directors               |                                                |                                                                                                            |                                                                 | ✓                                                                                                      |
| R1, R4, R6                         | Financial controls to guard against management override                                            | Ongoing                                      | Bus Man /<br>MT         |                                                |                                                                                                            |                                                                 | ✓                                                                                                      |

R1 – We experience a significant reduction in quality or break in shared services from SG, which impacts on our ability to operate effectively.

R2 – Our Regulatory Framework does not work effectively.

R3 – We lose stakeholder support.

R4 – We suffer serious business failure.

R5 - A cyber incident results in a loss of access to our IT systems, consuming resources to recover and disrupting our business, and a loss of data.

R6 – We fail to comply with the duties and expectations as a public body.

R7 – A systemic failure in social landlords' delivery of services brings reputational damage to us or puts serious pressure on our resources

R8 - A development outwith our control brings reputational damage or compromises our ability to regulate.

R9 - We do not have sufficient resources to deliver effectively.

| Risk mapping                       | Assurance Tools                                                                    | Frequency             | Who          | 1. Deliver our statutory functions | 2. Listen to tenants and service users, use their feedback and publish performance information | 3. Work closely with and listen to our stakeholders | 4. Be an effective, efficient and open public body and contribute to public service reform |
|------------------------------------|------------------------------------------------------------------------------------|-----------------------|--------------|------------------------------------|------------------------------------------------------------------------------------------------|-----------------------------------------------------|--------------------------------------------------------------------------------------------|
|                                    | <b>Governance Oversight</b>                                                        |                       |              |                                    |                                                                                                |                                                     |                                                                                            |
| R2, R3, R7, R8, R9                 | Chair's & Members' report                                                          | Each meeting          | Chair        | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Chief Executive's reports & accountable officer role                               | Each meeting          | CE           | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Quarterly Corporate Performance updates                                            | Quarterly             | Board        | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Risk management arrangements including quarterly updates and board paper templates | Quarterly             | Board / ARAC | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R1, R6, R9                         | Quarterly budget updates and mid-year reviews                                      | Quarterly             | Board        |                                    |                                                                                                |                                                     | ✓                                                                                          |
| R1, R4, R6, R9                     | ARAC updates, oversight of audit recommendations and annual statement of assurance | Quarterly             | ARAC         |                                    |                                                                                                |                                                     | ✓                                                                                          |
| R3, R6                             | ARAC and Board self-assessments                                                    | Annual                | ARAC / Board |                                    | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R6                                 | Best Value monitoring (Board papers and annual review)                             | Each meeting / Annual | Board / ARAC |                                    |                                                                                                |                                                     | ✓                                                                                          |
| R2, R6                             | Logic model                                                                        | Updated as required   | Board        | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Stakeholder attendance / agenda items at Board meetings                            | Each meeting          | Board        | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Special topic reports/updates/workshops                                            | Adhoc                 | All          | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Private Board discussions with CEO                                                 | Each meeting          | CE / Board   | ✓                                  | ✓                                                                                              |                                                     |                                                                                            |
| R2, R6                             | Topic-specific Programme Boards (for example Regulatory Framework review)          | As required           | As required  | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R6                                 | Matters arising updates                                                            | Each meeting          | Board / ARAC |                                    |                                                                                                |                                                     | ✓                                                                                          |

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|---------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----------------------------------------|---------------------------------------------|---------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
|                                       | <b>Independent Scrutiny</b>                                                                                                                                   |             |                                        |                                             |                                                                                                                     |                                                                 |                                                                                                                    |
| R1, R2, R4, R5, R6, R9                | External & Internal Audit scrutiny                                                                                                                            | Annual      | Auditors                               | ✓                                           | ✓                                                                                                                   | ✓                                                               | ✓                                                                                                                  |
| R2, R3,                               | Appeal arrangements                                                                                                                                           | Demand-led  | Advisory<br>appeal<br>panel<br>members | ✓                                           |                                                                                                                     | ✓                                                               | ✓                                                                                                                  |
| R1, R2, R3, R4, R5,<br>R6, R7, R8, R9 | Liaison with stakeholders, e.g. landlord and tenant bodies,<br>SG, Ministers, advocacy groups, auditors                                                       | ongoing     | Staff / MT /<br>Members                | ✓                                           | ✓                                                                                                                   | ✓                                                               | ✓                                                                                                                  |
| R2, R3, R4, R5, R6                    | Liaison with other regulators                                                                                                                                 | ongoing     | Staff / MT /<br>Members                | ✓                                           | ✓                                                                                                                   | ✓                                                               | ✓                                                                                                                  |
| R4, R5, R6, R8                        | Any decisions from the Scottish and UK information<br>Commissioners and the SPSO                                                                              | reactive    | MT                                     |                                             |                                                                                                                     | ✓                                                               | ✓                                                                                                                  |
| R2, R3, R6                            | Consultation responses & independent analysis                                                                                                                 | adhoc       | MT                                     | ✓                                           |                                                                                                                     | ✓                                                               | ✓                                                                                                                  |
| R4, R5, R6                            | Independent accreditation schemes                                                                                                                             | As required | MT                                     |                                             |                                                                                                                     | ✓                                                               | ✓                                                                                                                  |
| R1, R4, R5, R6, R9                    | Assurance returns / reports to Scottish Government on<br>corporate responsibilities e.g. climate change, cyber<br>security, corporate parenting, biodiversity | Varied      | MT                                     |                                             |                                                                                                                     | ✓                                                               | ✓                                                                                                                  |
| R1, R2, R3, R4, R5,<br>R6, R7, R8, R9 | ARAC members' private sessions with internal and external<br>auditors                                                                                         | Quarterly   | ARAC /<br>auditors                     | ✓                                           |                                                                                                                     |                                                                 | ✓                                                                                                                  |

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|                                    | <b>External Accountability</b>                                                                                        |                           |                            |                                    |                                                                                                |                                                     |                                                                                            |
| R3, R6                             | Board & ARAC minutes                                                                                                  | Each meeting              | Board / ARAC               |                                    |                                                                                                | ✓                                                   | ✓                                                                                          |
| R3, R6                             | Board governance framework                                                                                            | As needed                 | Board / ARAC               |                                    |                                                                                                | ✓                                                   | ✓                                                                                          |
| R1, R3, R4, R6                     | Framework agreement with Scottish Government                                                                          | Every three years         | Board                      |                                    |                                                                                                |                                                     | ✓                                                                                          |
| R2, R3, R7, R8                     | Engagement plans                                                                                                      | Annual and as needed      | Lead regulator             | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R2, R3, R4, R6, R8                 | Lessons learned accounts                                                                                              | As needed                 | Director / A. Directors    | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R2, R4, R6                         | Annual report & accounts                                                                                              | Annual                    | CE / Board                 | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R1, R2, R3, R4, R5, R6, R7, R8, R9 | Scottish Parliament Committee evidence sessions and real time updates                                                 | Annual                    | CE / Chair                 | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R2, R3, R4, R6,                    | Complaints learning and FOI logs                                                                                      | Quarterly / ongoing       | MT / staff                 |                                    | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R2, R3, R7, R8                     | Stakeholder groups e.g. SI and landlord forums                                                                        | As needed                 | MT members / Board members | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R2, R3, R7, R8                     | Regulatory publications, e.g. Regulatory Framework and guidance, risk assessment focus and outcomes, engagement plans | Throughout                | Reg Group                  | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R3, R4, R6                         | Corporate publications, e.g. strategy, responsiveness targets, annual report                                          | Annual and throughout     | MT                         |                                    | ✓                                                                                              | ✓                                                   | ✓                                                                                          |
| R4, R6                             | Board member information including declarations and gift & hospitality register                                       | Appointment then Reactive | CG Manager                 |                                    |                                                                                                |                                                     | ✓                                                                                          |
| R2, R3                             | FAQs and policy statements (speeches & blogs)                                                                         | throughout                | All                        | ✓                                  | ✓                                                                                              | ✓                                                   | ✓                                                                                          |

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