SHR Assurance Map – updated considered by ARAC - December 2019

Risk mapping	How we will know we have been effective? (source Corporate Plan 2019 – 22)	Frequency	Who	We do the right things and we do them well, and so we safeguard and promote the interests of tenants, people who are homeless, Gypsy/Travellers and factored owners.	We respond effectively when the interests of tenants, people who are homeless, Gypsy/Travellers and factored owners are at risk.	We manage any landlord failures to ensure tenants and service users do not suffer serious detriment, for example, losing their status as social housing tenants.	We are open, transparent and accountable on our approach and performance.	We influence others to focus on our priorities.	Our stakeholders have confidence in how we regulate.	Adequate assurance?
	Management Controls									
R2, R4, R5	Monitoring staff performance against objectives	6 monthly	Line Mang.	✓			✓			
R2, R4, R5	Monitoring group and team work plans	Quarterly	Directors	✓			✓			
R2, R3, R4	Portfolio based structure with case workload oversight by Assistant Directors	Ongoing	A. Director	✓	✓	✓			✓	
R2, R3, R4	Regulation Group casework meetings	As needed	A/. Director	✓	✓	✓	✓			
R2, R4, R5	Operating plan & risk register monitoring	Monthly/ Quarterly	MT / ARAC / Board	✓	✓		✓			
R2, R3, R4, R5	Management Team business oversight	Ongoing	MT	✓	✓	✓				
R2, R3	Lessons learned from statutory interventions	Post-intervene	Reg Group	✓	✓	✓	✓	✓	✓	
R2, R4	People survey results and action planning	Annual	MT				✓			
R1, R5	Budget monitoring	Monthly / Quarterly	MT / Board				✓			
R4	Consistent use of a Programme Management approach	As needed, major projects / programmes	MT				✓			
R2, R3, R4, R5	Complaints review for learning log	Quarterly	MT				✓		✓	
R4, R5	Directors' certificates of assurance to CEO	Annual	Directors				✓			
R1, R4, R5	Financial controls to guard against management override	Ongoing	B. Manager / MT							
	Adequate assurance?									
	Governance Oversight									
R1, R3,	Chair's & Members' report	Each meeting	Chair	✓			✓	✓	✓	
R1, R2, R3, R4, R5, R6	Chief Executive's reports & accountable officer role	Each meeting /	CE	✓	✓	✓	✓	✓	✓	
R1, R2, R4, R5	Quarterly Corporate Performance updates	Quarterly	Board	✓	✓	✓	✓		✓	
R1, R2, R3, R4, R5, R6	Risk management arrangements including quarterly updates and board paper templates	Quarterly	Board / ARAC	✓	✓	✓	✓		✓	
R1, R4, R5, R6	Quarterly budget updates and mid-year reviews	Quarterly	Board				✓			
R1, R4, R5, R6	ARAC updates, oversight of audit recommendations and annual statement of assurance	Quarterly	ARAC				✓			
R3, R5	ARAC and Board self-assessments	Annual	ARAC / Board				✓		✓	
R4, R5, R6	Best Value self-assessments	Annual	MT report to ARAC				✓		✓	
R2, R3, R4, R5	Special topic reports/updates/workshops	Adhoc	All	✓	✓	✓	✓			
R1, R2, R3, R4, R5	Private Board discussions with CEO	Each meeting	CE / Board	✓	✓	✓				
R5	Topic specific Programme Boards	As required	As required	✓	✓	✓	✓	✓	✓	
R5	Matters arising updates	Each meeting	Board	✓		✓	✓		✓	
	Adequate Assurance?									

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 – We fail to comply with the duties and expectations as a public body.
R6 – We suffer reputational damage a result of a development out with our control.

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	Independent Scrutiny									
R2, R5, R6	External & Internal Audit scrutiny	Annual	Auditors	✓	✓	✓	✓		✓	
R2, R3, R4, R5, R6	Appeal arrangements	Demand-led	Appeal panl members	✓	✓	✓	✓		✓	
R1, R2, R3, R5, R6	Liaison with stakeholders, e.g. landlord and tenant bodies, SG, Ministers, advocacy groups, auditors	ongoing	Staff / MT / Members	✓	✓	✓	✓	✓	✓	
R2, R3, R4, R5, R6	Liaison with other regulators	ongoing	Staff / MT / Members	✓	✓	✓	✓	✓	✓	
R4, R5, R6	Any decisions from the Scottish and UK information Commissioners and the SPSO	reactive	MT	✓			✓		✓	
R2, R3, R5	Consultation responses & independent analysis	adhoc	MT	✓			✓	✓	✓	
R4, R5, R6	Independent accreditation schemes	As required	MT				✓		✓	
R1, R4, R5, R6	Assurance returns / reports to Scottish Government on corporate responsibilities e.g. climate change, cyber security, corporate parenting, biodiversity	Varied	MT				✓		✓	
	Adequate Assurance?									
	External Accountability									
R3, R5, R6	Board & ARAC minutes	Each meeting	ARAC / Board	✓			✓		✓	
R1, R3, R4, R5	Framework agreement with Scottish Government	Every three years	Board	✓			✓		✓	
R2,	Engagement plans	Annual	Lead regulator	✓	✓	✓	✓	✓	✓	
R2, R3, R4, R6	Lessons learned accounts	As needed	Director / A. Directors	✓	✓	✓	✓	✓	✓	
R2, R4, R5	Annual report & accounts	Annual	CE / Board	✓	✓	✓	✓	✓	✓	
R2, R3, R4, R5, R6	Scottish Parliament Committee evidence sessions and real time updates	Annual	CE / Chair	✓	✓	✓	✓	✓	✓	
R2, R3, R4, R5, R6	Complaints learning and FOI logs	Quarterly / ongoing	MT / staff	✓	✓		✓		✓	
R1, R2, RS, R4, R5, R6	Stakeholder groups e.g. Thought Leadership, SI Forum, Framework working group	As needed	MT members / Board members	✓	✓	✓	✓	✓	✓	
R1, R2, R3, R4, R5, R6	Regulatory publications, e.g. Regulatory Framework and guidance, risk assessment focus and outcomes, engagement plans	Thoughout	Reg Group	✓	✓	✓	✓	✓	✓	
R3, R4, R5	Corporate publications, e.g. corporate plan, responsiveness targets, annual report	Annual and throughout	MT	✓			✓		✓	
R4, R5, R6	Board member information including: Declarations Gift & hospitality register	Appointment then Reactive	CG Manager				✓		✓	

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