

## Assurance Map, March 2025

Risk mapping	Assurance Tools	Frequency	Who	Priority 1. Deliver our statutory functions	Priority 2. Listen to tenants and service users, use their feedback and publish performance information	Priority 3. Work closely with and listen to our stakeholders	Priority 4. 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 and case conferences	As needed	A/. Director	✓	✓		
R1, R2, R3, R4, R5, R6, R7, R8, R9	Operating plan & risk register monitoring	Monthly/ Quarterly	MT / ARAC / 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 and other serious casework	Post-intervene	Reg Group	✓	✓	✓	✓
R2, R4	People survey / Board survey results and action planning	Annual	MT				✓
R1, R6, R9	Budget monitoring	Monthly / Quarterly	MT / Board				✓
R1, R4	Consistent use of a Programme Management approach	As needed, major projects / 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 / 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.

R4, R5	Cyber resilience oversight / Cyber Resilience Group	Quarterly	CRG members				✓
R2, R4	Business intelligence system governance / oversight	Quarterly	Members of MT / suppliers	✓	✓		
R2, R6	Impact assessments (inc. equalities, privacy, fairer Scotland, islands, children's rights and wellbeing, business and regulatory)	As needed, major decisions	MT	✓			✓

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	<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				✓
R2, R7, R8	Serious casework report (from February 2025)	Each meeting	Board	✓			
R2, R3	Tenants Together (Scotland) SHR Liaison Group engagement, SHR Board member chair	Quarterly	Board member chair	✓	✓	✓	✓

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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 appeal panel members	✓		✓	✓
R1, R2, R3, R4, R5, R6, R7, R8, R9	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, R8	Any decisions from the Scottish and UK information 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 corporate responsibilities e.g. climate change, cyber security, corporate parenting, biodiversity	Varied	MT			✓	✓
R1, R2, R3, R4, R5, R6, R7, R8, R9	ARAC members' private sessions with internal and external auditors	Quarterly	ARAC / 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, and quarterly summary FoI submission to Scottish Information Commissioner	Quarterly / ongoing	MT / staff		✓	✓	✓
R2, R3, R7, R8	Stakeholder groups: systemically important landlords, rural and islands landlords, urban landlords, advice agencies	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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