# Governance Risk Discussion Tracker

RoSBrd2023/02/14

| Risk | Name | Owner | Threat/Opportunity |
|---|---|---|---|
| 1 | Financial Health | Chris Kerr | Threat |
| 2 | Financial Capability | Chris Kerr | Threat |
| 3 | Operational Capacity | Chris Kerr | Threat |
| 4 | LRC - Ministerial Target 2024 | Chris Kerr | Threat |
| 5 | Public Trust in the Registers | Jennifer Henderson | Threat |
| 6 | Uncertainty of future business model beyond 2024 | Jennifer Henderson | Threat |
| 7 | People and Change | Jennifer Henderson | Threat |
| 8 | Cyber Resilience | Billy Harkness | Threat |
| 9 | Product Sustainability | Billy Harkness | Threat |
| 10 | LRC - Realising Benefits | Chris Kerr | Opportunity |
| 11 | Maximising Use of RoS Data | Kenny Crawford | Opportunity |
| 12 | Sustain and Improve Customer Experience | Kenny Crawford | Opportunity |
| 13 | Relationship with SG | Jennifer Henderson | Opportunity |

| Governance Group | Meeting Date | Agenda item name | Risk 1 | Risk 2 | Risk 3 | Risk 4 | Risk 5 | Risk 6 | Risk 7 | Risk 8 | Risk 9 | Oppt. 10 | Oppt. 11 | Oppt. 12 | Oppt.13 |
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| ARC BAU | 11-May-21 | 5.1 Finance audit report<br>5.2 Payroll audit report<br>7.1 RoS assurance framework<br>10.CSAT report<br>12. Key risk register extract | ✓ | ✓ | | | | | ✓ | | | | | ✓ | |
| Board | 08-Jun-21 | 5. 2024 Principles<br>6. Review of Roadmap to 2024<br>8. KPI & Finance Update<br>9. People Dashboard<br>11.Key Risk Update<br>12. H&S Annual Report<br>15. Draft Annual Report & Accounts | ✓ | ✓ | | | ✓ | ✓ | ✓ | | | | ✓ | ✓ | |
| ARC check in | 13-Jul-21 | 1. Benefits realisation of domains deep dive<br>2.Assurance opinions & target measures deep dive | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| ARC BAU | 20-Aug-21 | 6. Annual report and accounts<br>10.1 PKI audit report<br>10.2 Transition project lessons learned<br>10.3 Complaints review | ✓ | ✓ | | | | | ✓ | ✓ | | | | ✓ | |
| Board | 14/15 Sept 21 | 7. Annual Report and Accounts<br>9. KPI, Finance & People Reporting<br>10. Key Risk Reporting<br>12. 2024 Roadmap Update<br>17. People & Workplace Workshop incl. Hybrid Working<br>19. Vision for RoS Beyond 2024 | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | | ✓ | | ✓ | | |
| ARC check in | 28-Sep-21 | Fraud deep dive | ✓ | ✓ | | | | | | | | | | | |
| ARC BAU | 09-Nov-21 | 5.2 HR Management Development Programme audit report<br>5.3 Data Management: Use/Storage and Governanve of Data audit report<br>7.1 RoS assurance framework 2021-2026<br>8.1 Investors in People overview<br>8.2 NFI overview and self-assessment<br>10.1 Finance update<br>10.2 KPI Scorecard - Sept 21 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |

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| Board Meeting | 14-Dec-2021 | 6. 2024 Roadmap, Strategic Workforce Plan, Corporate Plan forward look 2022 - 2027<br>8. 6 month corporate plan review<br>9. KPI, People & Finance Reporting<br>11. KRR reporting<br>13. IIP & CSPS Results<br>15 Draft Board skills matrix<br>16. EDI Steering Group Update<br>16. Environmental Policy | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ | | ✓ | ✓ | |
| ARC BAU Meeting | 08-Feb-2022 | 7. Assurance Framework<br>8. Annual Review of Policies<br>9. Statement of Financial Risk Overview<br>10. Certificate of Assurance Overview<br>11. Adarma Overview | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Board Meeting | 08/09 March 2022 | 5. Digital Update<br>-Product Sustainability<br>-Cyber Resilience<br>-Digital Roadmap & Workforce Plan<br>6. People & Change Roadmap & Critical Path<br>-Strategic Workforce Plan<br>-CSPS & IIP Action Planning<br>8. Corporate Plan Update<br>9. KPI, People & Finance Reporting<br>11. Roadmap Reporting<br>13. KRR Reporting<br>14. Transparency Review<br>15.1. Financial Delegations 2022<br>22. Board Skills Audit Results<br>24. Championing Inclusive Leadership Training | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |
| ARC check in | 29-Mar-2022 | IR35 deep dive<br>New Registers deep dive<br>Work in Progress deep dive | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| ARC Meeting | 10-May-2022 | 5.3 Business Continuity Planning Report<br>6.1 Annual Audit Plan 2021-2022<br>7.1 ARC Assurance Framework 2022-2027<br>7.3 KRR - Financial Review<br>8.1 MSP Survey 2021<br>8.2 Management Essentials Evaluation<br>12.1 Finance Update<br>12.2 KPI Scorecard March 2022<br>12.4 Information Assurance and Governance Report<br>12.5 ISMS progress update<br>12.6 RCI Beta Assessment Results | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |

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| Board Meeting | 14-Jun-2022 | 5. Strategic Workforce Plan<br>7 Customer & Stkeholder Engagement Strategy<br>8. Data Strategy<br>10. Draft Annual Report and Accounts<br>11. Annual Compensation Update<br>12. H&S Annual Report<br>18.2 EDI Steering Group Update | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | | | | ✓ | ✓ | ✓ |
| ARC check in | 12-Jul-2022 | 1. Land Register Automation deep dive<br>2. IR35 update | | | ✓ | | | | ✓ | | | | | | |
| ARC BAU | 09-Aug-2022 | 5.2 Grow our Own (GOO) IA report<br>6. Draft annual audit report and covering letter<br>7. Draft annual report and accounts<br>8. Assurance framework & KRR<br>9. Draft ARC report to the Board<br>10.1 Moveable transactions project business justification gate<br>10.2 compliance check of the RoS Country of Origin stastics by the OSR<br>10.3 We Invest in People interim report | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Board Meeting | 13/14 Sept 2022 | 5. ARC Annual Report<br>6.Audit Scotland 21-22 Annual Report and covering letter<br>7.Annual Report and Accounts<br>9.Board Performance Monitoring<br>10. ARC Quarterly Update<br>11. KRR Reporting by Exception<br>13. Corporate Plan Workshop<br>15. Board Effectiveness Review Results<br>16. Board ToR Review<br>22. Culture Workshop<br>24. Gartner Session re org restructure in a digital world<br>26. Developing an Estates Strategy Session | ✓ | ✓ | ✓ | ✓ | | ✓ | ✓ | | ✓ | | ✓ | | |
| ARC check in | 28-Sep-2022 | 1. People & Change deep dive<br>2. Operational Capacity deep dive | | | ✓ | | | | ✓ | | | | | | |
| ARC BAU | 08-Nov-2022 | 5.3 Procurement Systems audit report<br>7.1 Risk assurace framework 2022-2027 & key risk register<br>8.1 PPG interim report<br>8.2 Civil Service Commission Scorecard 2021-2022<br>8.3 Data quality risk and assurance annual report 2021-2022 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |

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| Board Meeting | 13-Dec-2022 | 5. Long Term Vision Discussion<br>7. Customer Satisfaction Index Benchmark Results<br>8. CSPS Results<br>10. Board Performance YTD (latest data, 6 month progress and priorities for the rest of the year)<br>11. CP 2022-27<br>12. SWP Update<br>14. ARC Update<br>Risk Reporting by exception and risk management policy review.<br>16.2. EDI Update<br>16.3. NXD Diversity Summary<br>16.3 Board Effectiveness Review | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | ✓ | | ✓ | ✓ |
| ARC BAU | 14-Feb-2023 | 5.3 Information security risk management assurance report<br>5.2 Annual internal audit plan 2023-24<br>7. RoS assurance framework 2022/27<br>8. Annual review of policies<br>9.1 People assurance data overview | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Board Meeting | 14/15 March 2023 | 5.Board Performance Monitoring<br>6. KRR Reporting by exception<br>9. Corporate Plan final review and sign-off<br>11. Governance Structure Update<br>12. Framework Tri-ennial update<br>13. Financial Delegations<br>14. Hybrid working/project E update<br>16.2. IR35 Update<br>16.3. CSI Benchmark Results<br>16.4. We Invest in Wellbeing Report<br>20. NXD DG Corporate 1:1<br>22. Margerison McCann Team Management Profiling<br>24. 2024+ Discussion/Update | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | ✓ | ✓ |
| ARC check in | 31-Mar-2023 | 2.1 Management Information assurance report<br>2.2 Absence Management assurance report<br>4. Hybrid Working deep dive<br>5. HR Function deep dive | | | | | | | ✓ | | | | ✓ | | |
| ARC BAU | 09-May-2023 | 5.1 Annual Assurance report<br>5.2 Internal Audit progress report<br>7.1 RoS Assurance Framework 2023-28<br>7.2 KRR - Financial Review<br>7.3 IFRS 16 Implementation<br>8.1 IF35 Working Group update<br>11.1 Data Recommendations update | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |