Registers of Scotland

Internal Review of Corporate Governance

February 2024

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Executive Summary

At a time of significant leadership change, and refreshed strategic ambition, it is appropriate to undertake a light-touch review of RoS governance arrangements. The purpose of the exercise has been to confirm the appropriateness and efficacy of our governance capabilities, both for the RoS of today, and moving forward.

The review exercise has proceeded from the assumption that existing arrangements are largely effective but may have scope for improvement. The scope has been limited to considering three broad areas of enquiry: our governance culture and practice, our governance structure as a system, and our individual governance groups.

The methodology employed has consisted of desk-based research, review of relevant internal governance documentation, observation though attendance at governance group meetings, and interviews with key stakeholders. Non-executive directors, who bring a wealth of wider experience, were included within the stakeholders consulted.

Findings support the assumption that our arrangements are largely effective. RoS has a strong culture of governance which supports robust decision-making and transparency but is flexible enough to respond to change. There are however clear opportunities for improvement, to address particular aspects of culture and practice which can help create the truly sustainable governance function RoS will require going forward. Capacity, consistency, and clarity are themes which run thorough findings and recommendations. Leadership change provides a window of opportunity here to make some specific changes and to generally 'tighten up'.

There are specific parts of our governance system which will benefit from more focus. Our current strategic priorities and the breadth and complexity of strategic change have outgrown our existing arrangements. Better oversight and alignment of strategic change will support the successful delivery of our current corporate priorities and is a key recommendation. It can also unlock capacity and strategic focus for our EMT.

Crucially we recognise that our governance arrangements constitute a relatively delicate ecosystem, and that change presents opportunity but also risk. We recommend that any changes should be incremental, targeting short term demonstrable improvements which can be broadened or deepened over time. This approach also fits with the need to maintain focus on our ambitious set of strategic objectives.

Findings are listed in full, set out against our three broad areas of enquiry. They are also summarised for ease of consumption. In many cases, a recommendation arises in response to multiple findings, and will contribute to more than one outcome. This leads to the conclusion that a few simple and sustained improvements can act across our governance system to drive improvement in a disproportionate way.

Introduction

Why conduct a review?

Good governance is essential to the effective function of public bodies, to providing best value to citizens, and to demonstrating accountability and transparency in public life.

In commissioning this internal review of RoS's corporate governance arrangements, the Keeper and Accountable Officer assume that RoS's existing arrangements are fundamentally fit-for-purpose. Best practice is to keep governance arrangements under review, particularly where there is change in the wider organisational context. External assurance can follow in due course.

The following contextual factors make review timely at this juncture:

- **Strategic shift** – the organisation's leadership has prioritised a clear organisational goal of '*no casework older than two years by March 2026*', representing a shift in strategic focus from product sustainability and the reduction of technical debt, to a specific operational outcome
- **Leadership change** – the organisation's senior leadership is in the process of transition creating a 'moment of opportunity' to align governance arrangements with renewed leadership portfolios
- **Fiscal context** – Scotland's public finances are under increasing pressure, reducing levels of financial flexibility and margins for error. Macro-economic factors beyond RoS's control have a direct impact on its finances meaning that robust internal financial oversight is mission critical
- **Risk and assurance** – Across our strategic and operational risk landscape, governance arrangements are identified as critical to controlling and mitigating risk. Responsive, sustainable governance is a pre-requisite to our strategic ambition to be an exemplary public body by 2030.

What is good governance?

Best practice in governance for Scottish public bodies is set out in the Scottish Public Finance Manual (SPFM) and reflected in the Framework Agreement between RoS and the Scottish Ministers.

Broadly speaking, the purpose of RoS's governance arrangements is to ensure accountability for decision-making and the proper management of public finances, to provide assurance regarding these, and to conduct oversight of the internal controls which support this. Achieving this is key to the principle of best value, ensuring that public bodies deliver effectively and efficiently for citizens.

Good Governance in the Scottish Government guide points to six governance best practice principles:

- Leadership
- Accountability
- Integrity
- Effectiveness
- Transparency
- Sustainability

These are the principles RoS wishes to reflect through its governance arrangements, aligned with our organisational values set out in the corporate plan, and reflected in RoS culture and ways of working. Throughout this review we seek alignment to them, looking at the specific ways in which our

governance arrangements can best serve effective and timely decision-making, robust challenge and oversight, and appropriate assurance.

Purpose, Scope & Method

The purpose as agreed by Keeper and Accountable Officer has been:

- To confirm alignment with the requirements of the SPFM and the SG Framework Agreement
- To confirm alignment to RoS decision-making and accountability needs (fitness for purpose)
- To identify opportunities for improvement

The scope has been limited to:

- Culture and practice of governance within the organisation
- Individual governance group effectiveness - Constitution, purpose, authority, operation
- Interoperability of groups and overall effectiveness of governance structure

The review method has been to:

- Desk research of key artifacts (authoritative guidance, governance instruments) (see references)
- Attendance at governance group meetings to observe operation
- Consultation with a range of internal stakeholders (including non-executive directors)

The review has not followed the process of formal audit – findings and recommendations are presented objectively but draw upon individual opinions and observations of a relatively small group of knowledgeable stakeholders. The exercise has not included peer consultation or review.

Summary of Recommendations

Here we summarise in brief terms our headline recommendations. The benefit arising from each, and its rationale, are explained in detail throughout the Findings below.

Culture & Practice

- Delegate more authority more clearly from EMT to subordinate governance groups
- Use terms of reference to clearly articulate purpose, authority and decision-making pathways
- Use parameters of cost, benefit and risk to clearly articulate scope of delegated authority
- Appoint C2 chairs to subordinate groups with lean membership and limited Director presence
- Clearly communicate information/MI requirements necessary for decision-making
- Focus MI at the strategic level on '*insights* into *outcomes*'
- Use prior consultation to ensure consistent, broad business input and visibility
- Robustly 'gatekeep' group business to maintain a decision-making focus
- Drive operational and administrative activities back to relevant business owners/units

Governance Structure

- Articulate a (refreshed) three tiered governance structure and its design principles
- Create a single consolidated strategic change authority to oversee all strategic change
- Rationalise the overall number of groups in the structure through consolidation
- Control the creation and lifecycle of fora and working groups through formal sponsorship

Governance Groups

- Return EMT to a single constitution
- Consolidate BPB and SAT governance activities with a single strategic change authority
- Review the SWPG, orienting around stewardship of a Strategic Workforce Plan
- Consider whether the DA continues to be required longer-term

Findings: Culture & Practice

Decision-making

Strengths

- Governance generally facilitates timely, effective decision-making
- Decision makers generally have the appropriate knowledge, skills and experience
- Key internal service providers/SMEs are generally appropriately represented/consulted
- Evidence and management information (MI) to support decision-making is generally appropriate, of good quality, and data-driven
- Agenda items generally present clear decisions to be made

Opportunities

- RoS is over-reliant on its EMT for decision-making – EMT colleagues should return to a strategic focus with more decision-making delegated to subordinate groups and to the wider senior-leadership community
- Director/EMT colleagues chair most corporate governance groups, draining capacity and distracting from strategic focus – across our governance structure we should better utilise senior leadership colleagues (C2s) as group chairs, where arrangements are in a steady state
- Occasionally governance groups are engaged in operational level decisions – refreshing terms of reference and clarifying ways of working will help reduce or eliminate this
- Decision-making pathways are sometimes unclear to colleagues, resulting in delay or passing sideways of decisions – making clear the purpose and authority of each group, and its superordinate and subordinate relationships to other groups, will help here – communications can help colleagues understand the likely journey times and plan accordingly
- Senior stakeholders express unmet demand for MI which provides *insights* into the progress against *outcomes*, particularly with regard to strategic change – simplifying MI requirements which are common across the EMT, Board and ARC will drive both clarity and efficiency

Delegation & accountability

Strengths

- Terms of reference are in place and increasingly consistent
- Chairs have a good sense of groups' decision-making authority and their boundaries
- Formal delegation of financial management is in place across the senior leadership cohort
- Investment in performance management is driving accountability across the organisation

Opportunities

- Scope and limitations of decision-making authority of governance groups could be more explicit – individual ToRs could consistently reference the group's scope of authority**,** superordinate and subordinate relationships to other groups, and where possible escalation/delegation triggers
- Defined parameters of cost, benefit and risk can be used to effect this in practice – these are particularly relevant where investment or strategic change is being managed/delivered
- A culture of 'pushing problems upwards' to EMT/Directors can be tackled by empowering the wider group of senior colleagues within the governance structure, and setting the expectation of that decisions should escalate by exception

- Support, upskilling and communication will be required to bring a wider group of senior colleagues into governance roles effectively, and to set clear expectations of them as decision-makers

Efficiency

Strengths

- There are consistent ways of working (papers, templates, etc) which support decision-making
- There is a general uniformity to the way governance groups and decision-making functions
- There is an excellent support wrapper in the form of RoS Secretariat and other key teams
- There is a general desire across stakeholders to continuously improve efficiency

Opportunities

- Decision-making pathways are sometimes unclear to colleagues, resulting in duplication of effort – clear communication of decision pathways, robust gatekeeping of meeting agendas, and attentive director-level clearance will ensure that decisions navigate governance well
- Some groups have swelled in membership because of a desire to ensure wide visibility/business engagement in decision-making – group memberships should be lean, with administrative mechanisms strengthened to ensure that SMEs can provide appropriate prior input
- A culture of referring onwards 'for visibility' drives up load within the governance system – trust and behavioural change will be required to tackle this, with robust gatekeeping by group chairs essential. Communications channels can provide wider visibility of decisions made
- Information flows are not currently mapped alongside governance pathways to help stakeholders understand the information inputs and outputs required across the governance structure – once any changes to groups/structure are complete (see below), the valuable work Secretariat have begun to map information flows should be concluded
- Creation of new groups should be controlled with formal groups commissioned only by EMT and new fora/working groups overseen by a superordinate governance group. Fora/working groups should have a clear (documented) purpose and scope, and an intended lifespan

Findings: Governance Structure

Tiered Authority

Strengths

- *De facto* tiers of decision-making authority are reflected in the current structure and through terms of reference which explain subordinate and superordinate relationships between groups
- Chairs have a good sense of groups' decision-making authority and their boundaries

Opportunities

- Tiers of authority and their purpose can be better defined and communicated to actively control the flow of decision-making and the resource which supports it, driving clarity of ownership, accountability and authority, and promoting efficiency (see Figure 1 below)
- To drive delegation and accountability, a conscious move could be made to have tier 2 groups are chaired by C2 colleagues, where the governance arrangements are in a steady state
- Tiers of authority will operate best where authority and escalation/delegation triggers/criteria are clear - where appropriate parameters of cost, benefit and risk will be helpful (as above)

Figure 1 – A proposed (rationalised) three tier governance group structure. Second tier ('Delegated authority') comprising three distinct 'verticals'
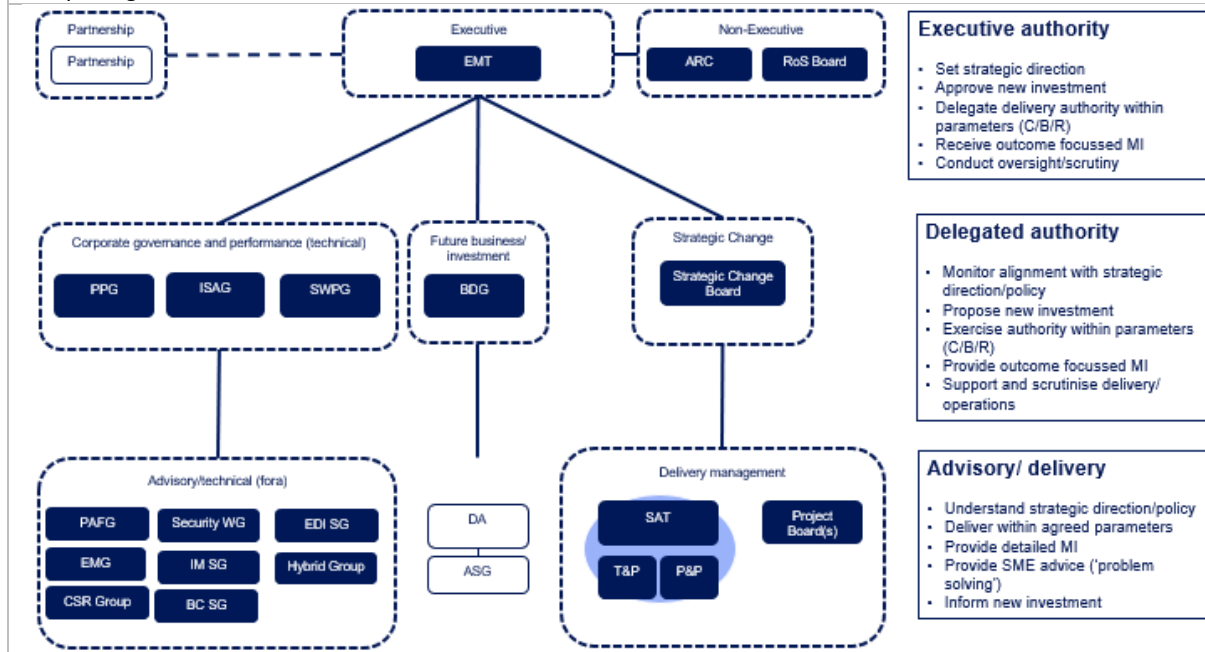
Strategic Change Management

Strengths

- Approval of investment in strategic change by EMT (tier 1) remains appropriate – given that new strategic investment predicted in the coming two-year period is minimal, this is sustainable
- Clear efforts to improve the robustness of the MI and tracking of cost/benefit and risk in respect of strategic change are underway

Opportunities

- Strategic change is increasingly complex, spanning projects and domain initiatives – effective oversight requires too much 'reading across' the decision-making apparatus by Tier 1 groups, making clear insights into progress towards strategic outcomes elusive, and inhibiting assurance. Constant demands for MI are a symptom which in turn interrupts focus on delivery.
- A consolidated group could conduct oversight and assurance of all strategic change initiatives on behalf of EMT, ensuring strategic alignment. It could provide EMT colleagues with a clear, joined-up picture of progress towards strategic outcomes. EMT could maintain strategic focus by setting the outcomes and roadmap, with this delegated authority conducting oversight within agreed parameters of cost benefit and risk, escalating by exception.
- A strategic change authority would allow our SAT/domain and project colleagues to focus on the delivery of initiatives on a day-to-day basis, and remove the logical challenge of asking colleagues to both lead/manage delivery and conduct assurance of that delivery
- This creates potential to reduce (overall) the number of governance groups, firstly by creating the capacity for EMT to revert to a single group and secondly by consolidating the current SAT governance and Business Portfolio Board.
- Individual project SROs and SAT would remain responsible for delivery within their spaces.

Operational performance

Strengths

- Existing arrangements successfully provide MI directly from relevant business functions to the executive function to allow it to adequately monitor operational performance (through KPIs and Service Standards) in line with strategic objectives, policy, practice, and risk appetite
- A limited number of distinct technical/thematic groups subordinate to EMT provide good value in terms of specialist advice within their remit – workforce, policy & practice, and information security & assurance

Opportunities

- Groups sometimes receive agenda items from the wider business which are not a 'pure fit' to their purpose or authority, which can cause inefficiencies through delay or passing-on - renewed clarity regarding decision-making authority, ToR refresh and rigour in agenda planning and acceptance of items/papers will help
- Each group in this vertical is chaired by an EMT colleague who is shortly leaving the organisation – their replacement by C2 colleagues where appropriate, whilst maintaining EMT memberships, will help drive the delegation outcome
- The potential exists for a tier 2 Operations authority to be created should any gaps in MI or operationally focussed decision-making result from wider change – this is not a short term opportunity

Future business/ investment

Strengths

- The (relatively) newly formed Business Development Group provides the opportunity to create clarity around the governance routes through which new business opportunities should transit, ensuring robust oversight and appropriate strategic alignment

Opportunities

- Effective governance of new business opportunities will depend on a frictionless co-existence with existing governance arrangements and the established business priorities they govern. Time and trial will be necessary to get this right. Clarity of the purpose and scope of authority of the BDG is paramount to ensure decision-making routes are clear and unique. Over time the scope of the BDG could include:
  - Triage /gatekeeping of future business ideas/ business model – acting as the 'ideas hopper' for future business innovation, supporting viable ideas which should travel from concept through discovery phases, reviewing outcomes, and preparing final investment proposals for EMT
  - Initial assessment/scrutiny of other new investment cases not falling within the ambit of the strategic change authority SAT roadmap – further protecting EMT capacity to deal exclusively with fully mature investment proposals
  - Some of the functions of the current Design Authority, namely oversight of strategic suppliers and their management – this is an observable gap which will benefit from improved oversight and process, and which has a remit extending beyond simply technology (see Design Authority below)

Findings: Governance Groups

RoS Board, RoS Audit & Risk Committee (ARC)

Strengths

- Both Groups create a non-executive presence allowing RoS to benefit from outside perspectives in its senior leadership community in the form of constructive challenge and strategic advice
- Both groups conduct self-assessment effectiveness reviews – these support the view that they appropriately fulfil their role, and are generally efficient in the way they operate – there is clear evidence that the members and Chairs of both groups actively pursue efficiency as well as efficacy
- Both groups appear to be appropriately appointed with the right balance of skills and experience, which are kept under review and aligned to business need through membership succession

Opportunities

- NXD succession planning is required to ensure these groups have the right skills and experience to best support the organisation going forward – this work has already begun
- NXDs continue to express unmet appetite for 'insights over information' 'outcomes over outputs' – continuous improvements in MI and clarity regarding the strategic focus of the non-executive (tier 1) groups should help here - see Opportunities in relation to Strategic Change Management above
- At its last effectiveness review the Board highlighted the potential for matching or mentoring of NXD members with C2 colleagues – this innovation might play a supporting role in driving delegation and accountability, and contribute to a fuller sense of senior leadership community

Executive Management Team (EMT) – Corporate Governance (CG), Investment Board (IB)

Strengths

- EMT is a strong collegiate group which is effective in collective decision-making, with a track record of achieving consensus and representing this in a united way to the rest of the organisation

Opportunities

- The current constitution of EMT as two separate groups is unsustainable and a key outcome should be to return EMT to a single constitution – this will create more individual Director capacity, and reduce 'reading across'
- Occasionally EMT see business that should be dealt with elsewhere (tier 2 or operational) – eliminating this will further protect Director capacity - clear delegation to subordinate groups, clarity about escalation, and robust management of group business will help
- EMT should be clear about the MI it requires to make decisions and effect oversight - operational performance metrics/KPIs, financial information (in-year/medium term), benefits profiles and strategic risk – ensuring that only fully informed decisions and proposals consume its capacity
- Self-challenge and a degree of risk-taking/trust over time will be required on the part of EMT to effect meaningful delegation to tier 2 and to less senior colleagues
- A rebrand to 'Executive Leadership Group/Team' could help emphasis the strategic nature of the group and the decisions/oversight it should (and shouldn't) be engaged with

Policy & Practice Group (PPG)

Strengths
- PPG is effective in providing decision-making and oversight within its scope of authority, with well established and effective working relationships with both subordinate and superordinate groups
- PPG performs a 'higher admin function' in respect of organisational policy, which ensures that policy remains fit for purpose and is subject to regular review

Opportunities
- The imminently vacant role of Chair can be filled by an appropriate C2 colleague supported by a single Director, giving effect to the principles of delegation, and protecting Director capacity
- PPG sometimes receive agenda items from the wider business which are not a 'pure fit' to its purpose or authority, which can cause inefficiencies through delay or passing-on - renewed clarity regarding decision-making authority, ToR refresh and rigour in agenda planning and acceptance of items/papers will help
- PPG has a sprawling membership and attendees list, in part borne of concern that necessary contributions are not missed – this drives up its cost as a governance mechanism - a review of both membership and ways of working, focussing on relevancy of business, completeness of decision-making evidence and potentially a reduced membership, may be timely
- Policy oversight is a core activity of the group – improvement activities are underway to ensure that these responsibilities are consistently and robustly managed – this should include mechanisms which ensure that policy is subject to review/scrutiny in response to relevant contextual change, and not solely at the point of scheduled review/renewal

Strategic Workforce Planning Group (SWPG)

Strengths
- The concept of a strategic workforce authority ensuring alignment of capability to the corporate strategic objectives is the right one, and is set out appropriately in the group's ToR
- The group membership includes a PCS Union representative, which is an important inclusion reflecting the principle of partnership
- The Strategic Workforce Project closure report made helpful recommendations about SWPG, which are aligned to the recommendations below

Opportunities
- Given that SWPG is a group in transition, the Director of People could continue to chair the group
- SWPG is not clearly oriented around the oversight of, and alignment to, a Strategic Workforce Plan – this gap makes it difficult for the group to play the substantive decision-making and oversight role foreseen in its terms of reference – as a consequence the group is largely focussed on the more administrative and operational matters regrading individual roles/posts
- SWPG should re-orient its work around the oversight of a strategic workforce plan, and ensuring alignment to it – administrative and operational aspects should be returned to the business
- Review of the group's terms of reference, purpose, and scope of authority, as well as ways of working and group membership, is required, particularly given the workforce alignment dependencies in the organisations 'stretch plan'
- Over time, attention should be given to the group's appropriate alignment to any future strategic change authority

Information Security & Assurance Group (ISAG)

Strengths

- The group is effective in providing oversight and decision-making in respect of the organisations information assets, their use and protection

Opportunities

- The imminently vacant role of Chair can be filled by an appropriate C2 colleague, giving effect to the principles of delegation
- The current assignment of key information assurance responsibilities, namely the role of Information Asset Owner (IAO), drives group membership unhelpfully towards Director roles – this can be resolved by implementing the changes to information assurance roles proposed at Annex A, and revising the group's terms of reference to reflect a new membership
- The group likely represents an exception to the principle that tier 2 groups have only one Director member, with both the Director of DDaT and the Accountable Officer important participants in their respective capacities as senior officer responsible for information security, and senior information risk owner (responsibilities which should remain sperate)

Business Development Group (BDG)

- See Future business/investment section above.

Design Authority (DA), Architectural Steering Group (ASG)

Strengths

- The group undertakes important and valuable business in relation to oversight of suppliers and provides a formal governance route for matters arising from the RoS Architectural community
- The Chair and members are particularly focussed on maintaining efficient governance, and have innovated in their ways of working to successfully achieve this

Opportunities

- The imminently vacant role of Chair can be filled by an appropriate C2, maintaining the status quo, and protecting Director capacity
- The context which led to the DAs original creation has changed, and consequently the function of the group has morphed away from its current terms of reference – there is a case that the group's current activities and functions (principally supplier oversight) could be performed elsewhere, either by another corporate governance group (for example the Business Development Group) or directly by an operational function in the business (most likely within DDaT)
- In the case where the DA ceases to exist, thought should be given to how the Architectural community (embodied in the current Architectural Steering Group forum) can make its contribution – this may be possible by routinely including the ASG as consultees on decisions and proposals being made across the governance structure

Business Portfolio Board (BPB)

Strengths

- The BPB is generally effective in providing oversight of formal projects and ensuring their alignment to strategic objectives

Opportunities

- Given the recommendation above to govern all strategic change within RoS under a single strategic change authority, the BPB's activities would be consumed within this new authority in due course, reducing the number of extant groups (see Strategic Change above)
- In the case where the BPB continues to exist medium/long term, the following areas would benefit from improvement:
    - Group ToR which is deficient as written
    - Group membership
    - MI consumed by the group should be sufficient (not excessive) and consistent across all submissions, allowing relative comparisons and driving effectiveness
    - Group business should be focused on scrutiny against agreed parameters of cost, benefit, and risk, rather than on 'general updates' and should drive decision-making – by definition, projects that are 'on track' according to these parameters would not unnecessarily consume group capacity
    - The group's role in monitoring and oversight of strategic suppliers, escalated quarterly from the DA, should be reviewed

Service Alignment Team (SAT)

Strengths

- SAT governance as approved by EMT (Q2 2023) is based on a logical design which was given careful consideration created with the intention of providing robust decision-making and oversight of SAT roadmap and domain initiatives

Opportunities

- Given the recommendation above to govern all strategic change within RoS under a single strategic change authority, the 'SAT governance' activities would be consumed within this new authority in due course – SAT as a delivery body would continue to be required to lead delivery
- SAT itself has morphed over time from being a delivery body/delivery leadership group to include a place within the formal governance arrangements of the organisation, and an expectation of collective decision-making and oversight/assurance – this presents a logical contradiction and introduces conflicts of interest for SAT colleagues themselves
- In the case where SAT continues to be characterised as a formal governance group, the following areas would benefit from improvement:
    - ToR needs to reviewed to support constitution and operation as a formal governance group, distinguishing it from a delivery body/delivery leadership group or groups
    - Membership would be revised to better support the core concept of collective decision-making and accountability – membership would adequately resolve the conflict of interest between responsibility for delivery, and oversight/assurance of delivery
    - Group constitution would reflect the best practice principles of C2 Chair with a single Director representative – the group would necessarily be smaller than at present
    - Group ways of working would reflect the normal standards of governance elsewhere in RoS, for example the recording and approval of minutes of decision-making, etc

Partnership (PCS)

Strengths

- Creates space for workforce representation, consultation and visibility of decision-making

- Improves the ability of the PCS branch executive committee to effectively represent members interests to leadership
- Improves levels of engagement and mutual understanding between workforce representatives and leadership

Opportunities

- Consider opportunities to extend the principles of partnership through broader engagement of workforce representatives across corporate governance and decision-making (for example in group membership), and through more direct and frequent communication between workforce representatives and EMT/NXD colleagues outside of the formal governance arrangements

Fora, Other Groups

Strengths

- A variety of enduring and short-life groups without decision making authority, provide advice and support to our formal tier 2 governance groups, and create dedicated spaces for communities of colleagues focussing on specific business challenges
- These for a can perform procedural 'heavy lifting' on behalf decision-making groups if effective
- They can act as a catalyst to colleague engagement and broaden the base of decision-making input

Opportunities

- Review whether each existing group is current and required – challenge if purpose/ value unclear
- Ensure that all fora use a common constitutional template (terms of reference), making clear their purpose, sponsor decision-making group, predicted lifespan, and ways of working (inputs, outputs, etc) – this will drive consistency and ensure resource is efficiently used
- Create a mechanism to ensure that EMT are made aware of all formally constituted fora
- Consider a supporting group to perform relevant (operational) process on behalf of SWPG
- Consider whether PAFG should report to ISAG (as is) or alternatively to PPG going forward
- Consider alternatives to the monthly RoS-wide performance reporting meetings – the event has a high relative cost to the organisation and a low relative value return in return

Consultees

The following colleagues have been consulted in some capacity during the review exercise – their expert input has been invaluable in creating findings and recommendations.

- David Blair, Business Development Director
- Martin Burns, Director of Data, Digital & Technology
- PCS Branch Executive
- Head of Service Delivery
- Billy Harkness, Director of People, Chair of Policy & Practice Group and Information Security & Assurance Group
- Andrew Harvey, RoS Non-executive Director, Chair of RoS Audit & Risk Committee
- Jennifer Henderson, Keeper of the Registers of Scotland, Chair of RoS Board and RoS EMT
- PCS Branch Executive
- Chief Data Officer, Chair of RoS Design Authority
- Senior Benefits Analyst
- Mhairi Kennedy, RoS Non-executive Director, Member of RoS Board
- Chris Kerr, Accountable Officer, Chair of Business Portfolio Board
- Executive Assistant to the Keeper & Correspondence Manager
- Senior Executive Assistant
- Head of Portfolio Management Office
- Head of Secretariat & Governance
- Policy Lead

Annex A – Information security & assurance roles

Table 1 below sets out the current RoS information security and assurance roles, their proposed future shape, and the rationale and implications of change.

Current Role	Future role	Purpose	Rationale & implications
Departmental Security Officer (DSO)	Senior officer *accountable* for information security	Senior leadership role ensuring that policy and resource to ensure protection are in place	Alignment with best practice, protection of assets and clear governance (accountability) for information security. Will be a Director member of ISAG.
	Senior officer *responsible* for information security	Senior role ensuring that levels of protection are meeting the policy in practical terms	Alignment with best practice, protection of assets and clear governance (responsibility) for information security. Will regularly report to ISAG.
Senior Information Risk Owner (SIRO)	Accountable Officer	Provides risk and assurance leadership and is the final arbiter of decisions regarding the use and protection of information assets	Accountable officer should have overall visibility and assurance regarding the use of information assets and provides risk and assurance leadership. Separate SIRO role not required.
Information Asset Owner (IAO)	Information Asset Owner	Supports the AO and is responsible for the use and protection of specific information assets	C2 colleagues can be delegated to play a more active role in information asset management, freeing Directors from this activity. C2 colleagues can report directly to the AO on matters of information risk and assurance. C2 colleagues can work directly with Information Asset Custodians to properly understand information risk and control.
Area Information Manager (AIM)	Information Asset Custodian	Day-to-day management and protection of specific information assets, undertaking mitigation actions to control asset risk	Clearly linking risk to information assets with the ability to improve their control/protection in practical terms. Likely to be relevant SPM/TPM/domain coordinator
	M365 Superusers/Teams Champions, etc	Local go-to for colleagues on day-to-day information management, data hygiene and security	Upskilling colleagues and driving benefits of new technology. Local champions undertaking a colleague support role.