**Minor Revisions to Self-Assurance Toolkit in September 2020**

The following minor revisions were made to the Toolkit in the September 2020 update:

* Links have been added to sections within the document to make it more navigable
* Existing hyperlinks have been updated – particularly to reflect the SHR’s updated website
* An updated foreword, which includes links to supplemental Covid-19 guidance
* Appendix A (the template process for developing an AAS) has been slightly updated
* Some minor updates to the Self Assurance Factors/Questions (as summarised in the table below).

| **Ref** | **Standard** | **Additional Self-Assurance Factor** |
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| AN1 | Prepare an Annual Assurance Statement in accordance with SHR published guidance, submit it to us (SHR) between April and the end of October each year, and make it available to tenants and other service users. | Are the arrangements for monitoring the implementation of compliance and improvement actions effective? |
| AN3 | Each landlord must have assurance and evidence that it is meeting all of its legal obligations associated with housing and homelessness services, equality and human rights, and tenant and resident safety. | **Tenant and Resident Safety**Do we gain assurance that plans and designs for construction and for major repairs projects are compliant with all relevant safety legislation and good practice advice?Do our processes for the recruitment and appointment of consultants ensure that we are appointing appropriately qualified and experienced specialists?How do we gain assurance that we are complying with our obligations in respect of data protection and Freedom of Information? |
| CH2 | Each landlord must involve tenants, and where relevant, other service users, in the preparation and scrutiny of performance information.  | How have we taken account of the views of tenants and service users in the preparation of the AAS? Have we considered whether we should engage with tenants specifically in connection with the preparation of our AAS? |
| TS1 | Each landlord must make information on reporting significant performance failures, including SHR [leaflet](https://www.scottishhousingregulator.gov.uk/publications/significant-performance-failure), available to its tenants. | Do we include periodic reminders about the leaflet in our newsletters and other communications with tenants? |
| GF1 | Comply with the Standards of Governance and Financial Management and associated guidance | Are we assured/satisfied that effective mechanisms are in operation to ensure ongoing compliance between periodic reviews? |
| 1.6 | Each governing body member always acts in the best interests of the RSL and its tenants and service users, and does not place any personal or other interest ahead of their primary duty to the RSL. | Are GBMs clear about the difference between declaring an interest and managing a conflict of interests?  |
| 2.2 | The governing body recognises it is accountable to its tenants, and has a wider public accountability to the taxpayer as a recipient of public funds, and actively manages its accountabilities | How involved are tenants in setting and monitoring performance standards for service delivery?  |
| 2.5 | The RSL is open, cooperative, and engages effectively with all its regulators and funders, notifying them of anything that may affect its ability to fulfil its obligations. It informs the Scottish Housing Regulator about any significant events such as a major issue, event or change as set out and required in notifiable events guidance | Are the arrangements for advising the GB about Notifiable Events effective and appropriate?  |
| 3.1 | The RSL has effective financial and treasury management controls and procedures, to achieve the right balance between costs and outcomes, and control costs effectively. The RSL ensures security of assets, the proper use of public and private funds, and access to sufficient liquidity at all times. | Can we demonstrate that our decision-making on the rent increase took account of tenant views?How our ethical investment policy monitored/reviewed? |
| 3.2 | The governing body fully understands the implications of the treasury management strategy it adopts, ensures this is in the best interests of the RSL and that it understands the associated risks. | How is the performance of treasury advisers monitored? |
| 4.3 | The governing body identifies risks that might prevent it from achieving the RSL’s purpose and has effective strategies and systems for risk management and mitigation, internal control and audit. | How do you learn from your organisation’s own experience? |
| 6.5 | The RSL ensures all new governing body members receive an effective induction programme to enable them to fully understand and exercise their governance responsibilities. Existing governing body members are given ongoing support and training to gain, or refresh, skills and expertise and sustain their continued effectiveness. | Is there a policy which supports GBM induction and ongoing training?  |
| 7.3 | The RSL ensures adequate consultation with, and support from, key stakeholders including tenants, members, funders (who may need to give specific approval) and local authorities as well as other regulators**.** | How is oversight of delivery/achievement being exercised?  |