

2024 Compliance Assessment Summary Linking requirements to Regulatory Standards.docx
2024 Pineview Housing Association Ltd Compliance Assessment

How regulatory requirements link to regulatory standards. For Annual Assurance Statement (ASS) purposes.

Reference Table:

| Ref | What |
|-----------|---|
| AN1 – AN5 | Assurance and Notification |
| CH1 – CH5 | Scottish Social Housing Charter performance |
| LR1 – LR4 | Listening and Responding to Tenant and Service User |
| WB1 | Whistleblowing |
| EH1 – EH2 | Equality and Human Rights |

| Ref | What |
|-----------|---|
| SG1 – SG6 | Statutory Guidance |
| OC1 – OC3 | Organisational Details and Constitution |
| GF1 | Regulatory Standards of Governance and Financial Management |
| RS | Regulatory Standard |
| CS | Constitutional Requirement |

| Ref | Requirements | Compliance | Relevant Regulatory Standards (RS) |
|-----|--|---|--|
| AN1 | Prepare and submit Annual Assurance Statement (AAS) by 31 October | Submitted annually on time. Confirmed in SHR Portal and CoM Returns Schedule and meeting minute. | No Standard refers directly to the ASS but RS 1.3, 2.2 and 2.5 are relevant |
| AN2 | Notify SHR of any material changes during the year | No notifications re AAS have been required. SHR is proactively kept updated on matters on an ongoing basis, for example, leases, transfer promises outcomes, tenant safety matters such a periodic being late etc. | RS 2.2 and 2.5 |
| AN3 | Have assurance and evidence of meeting legal obligations relating to: <ul style="list-style-type: none"> Housing and homelessness services Equality and human rights Tenant and resident safety | Confirmed through Committee reporting and internal audit review. 2023 increased quota for homeless lets to assist local authority and meet obligations. Aug 2022 internal audit review of equalities compliance. Quarterly reporting to committee on Equality Action Plan. Housing Services Report amended to make reporting on tenants' safety clearer for CoM. 2023 internal audit programme had a 5 day programme of audit solely reviewing duty of care in respect of tenant and resident safety. | RS 1.3 (in general terms) RS 4.1 |

2024 Compliance Assessment Summary Linking requirements to Regulatory Standards.docx

| Ref | Requirements | Compliance | Relevant Regulatory Standards (RS) |
|-----|---|---|--|
| AN4 | Notify SHR of any tenant or resident safety matters reported to or being investigated by the Health and Safety Executive (HSE) | No notifications have been required. | RS 2.5 |
| AN4 | Notify the SHR of any reports from statutory or regulatory authorities or insurance providers relating to safety concerns | No notifications have been required. | RS 2.5 |
| AN5 | Make the Engagement Plan available and accessible to tenants and service users, including online | SHR publish on their website. Engagement plans available on SHR website and on PHA website - https://www.pineview.org.uk/shr-engagement-plans/ | Standard 2 RS 2.1 |
| CH1 | Annually submit an Annual Return on the Charter in accordance with published guidance | Submitted annually on time. Confirmed in SHR Portal and CoM Returns Schedule and meeting minute. | RS 1.3 |
| CH2 | Involve tenants and other relevant service users in the preparation and scrutiny of performance information: <ul style="list-style-type: none"> • Agree approach with tenants • Ensure the approach gives tenants a real and demonstrable say in performance assessment • Publicise the approach to scrutiny to tenants • Ensure the approach can be verified and demonstrate that it has happened Involve other service users appropriately having asked and taken account of their needs and wishes | Publish performance information on website and in newsletters (normally quarterly) and request involvement of service users to review. Customer & Resident Forum review outcomes and determine reporting format of performance reporting and annual Charter Report. Have published Tenant and Customer Participation Policy and Action Plan, which is regularly reviewed. Customer forum to be invited to may Committee meeting annually. | Standard 2 RS 2.1, 2.2 and 2.4 RS 4.2 |
| CH3 | Report performance in achieving/progressing towards Charter outcomes and standards to tenants and other service users by October each year | Publish annually on time. Available on website - https://www.pineview.org.uk/annual-reports-charter-reports/ | Standard 2 RS 2.1 and 2.4 RS 1.3 |
| CH3 | Agree the format of reporting with tenants and other service users; ensure it is | Customer & Resident Forum review outcomes and determine reporting format of Charter report. | RS 1.3 and 2.4 |

2024 Compliance Assessment Summary Linking requirements to Regulatory Standards.docx

| Ref | Requirements | Compliance | Relevant Regulatory Standards (RS) |
|-----|--|---|---|
| | accessible and that language is plain and jargon free | Feedback requested each time published. | |
| CH4 | Report annually on performance to tenants and other service users and include: <ul style="list-style-type: none"> Assessment of performance against each relevant Charter outcome Relevant comparisons including with previous years, other landlords and national performance Plans for delivering improvement Methods for tenants and service users to comment on the style of reporting | Report produced by end Oct annually and details: <ul style="list-style-type: none"> Performance for year ended. Performance benchmarked against previous years, against other landlords and SHR national outcomes. Details what we plan to do to improve, if relevant. Feedback survey issued with publication. | RS 1.3 Standard 2 |
| CH5 | Make SHR's Landlord Report easily accessible to tenants, including online | Signpost to SHR website and publish on PHA website when SHR make available - https://pineview.org.uk/shr-landlord-reports/ | Standard 2 |
| WB1 | Have a whistleblowing policy and effective arrangements for governing body members (GBMs) and staff which is easily available and promoted | Whistleblowing Policy (G.02) in place, staff and committee both involved in review of policies. Last reviewed Sept 2022, on 3 year review cycle with next review due 2025. Policy available to all staff in Policy folder, and available to Committee through committee portal document library. | Standard 5 RS 5.2 and 5.6 |
| EH1 | Be assured and have evidence that equality and human rights issues are considered properly in: <ul style="list-style-type: none"> decision-making the design and review of internal and external policies day-to-day service delivery | Equality Strategy Action Plan and reporting to Committee. Equality data collected analysis annually to committee from Sept 2023. Equality and Diversity Policy covers our commitment and staff all trained and made aware. | All Standards RS 1.3 RS 4.1 RS 5.3 |
| EH2 | Collect data relating to each of the protected characteristics for existing and new tenants; people on waiting lists; GBMs and staff | May 2022 Committee strategic decision on format of data. Collection timeline forms part of equality strategy action plan. Collecting updated data from existing tenants as part of two yearly house inspection visits starting Q2 2023/24. | RS 1.3 (in general terms) |

2024 Compliance Assessment Summary Linking requirements to Regulatory Standards.docx

| Ref | Requirements | Compliance | Relevant Regulatory Standards (RS) |
|-----|--|--|--|
| LR1 | Provide tenants, residents, services users with easy and effective ways to provide feedback and raise concerns; ensure that such information is considered and provide quick and effective response. | Repair satisfaction survey system in place. Published complaints procedure and information, including reporting on complaints - https://pineview.org.uk/compliments-complaints/ Customer Forum Consultation register. Active customer forum, with meeting minutes published and reported to CoM. | Standards 1, 2, 4 RS 2.1, 2.2, 2.4, 4.2 |
| LR2 | Make information available to tenants on raising serious concerns ¹ with the SHR, including access to SHR's leaflet. | Published complaints procedure and information - https://pineview.org.uk/compliments-complaints/ SHR leaflet on PHA website – https://pineview.org.uk/compliments-complaints/ | RS 1.3 and 2.2 |
| LR3 | Provide tenants and other service users with information needed to complain and seek redress and respond to tenants within agreed timescales, in accordance with SPSO guidance | Published complaints procedure and information, including reporting on complaints - https://pineview.org.uk/compliments-complaints/ | RS 2.2 RS 2.4 |
| LR4 | Ensure that effective arrangements are in place to learn from complaints and other tenant feedback, in accordance with Scottish Public Services Ombudsman guidance | Quarterly reporting to Committee and learning outcomes process in line with SPSO. Published on website and in newsletters - https://www.pineview.org.uk/complaints-and-compliments-reports/ | RS 2.4 RS 4.2 |
| SG1 | Comply with and submit information to the SHR in accordance with guidance on Notifiable Events (NEs) | Notifications made through SHR Portal and advised to Committee and recorded in Committee report – now in Business Plan Report, previously Director's Report. Notifications from March 2021: <ul style="list-style-type: none"> - 17/09/21 – Approved Rule change - 28/09/21 – Data breach reported to ICO - 15/10/21 – Fraudulent e-mail seeking account balances - 14/12/23 – Data breach reported to ICO | RS 1.3 RS 2.5 Standard 7 (where applicable) |

¹ Tenants may take serious concerns to the SHR which affect a group of, or all tenants – defined as Serious Performance Failures (Housing (Scotland) Act 2010); Regulatory Framework (2024): 6.10

2024 Compliance Assessment Summary Linking requirements to Regulatory Standards.docx

| Ref | Requirements | Compliance | Relevant Regulatory Standards (RS) |
|-----|---|--|---|
| SG2 | Comply with and submit information to the SHR in accordance with guidance on Group Structures | N/A to PHA as not in Group Structure. | RS 4.4 Standard 7 (RS 7.1-RS 7.6) |
| SG3 | Comply with and submit information to the SHR in accordance with guidance on consulting tenants where tenant consent is required | Not been applicable for PHA. Ensured Kendoon met consent guidance for KHA tenants for Transfer of Engagements. PHA tenants kept updated and asked for views even though consent not required. | RS 7.1, 7.3 and 7.8 |
| SG4 | Comply with and submit information to the SHR in accordance with guidance on financial viability of RSLs: information requirements | All information submitted on time through SHR Portal. Reported to Committee either for approval or confirmation of submission and noted in Returns Schedule. | RS 1.3 RS 1.7 |
| SG5 | Comply with and submit information to the SHR in accordance with guidance on determination of accounting requirements | Annual financial statement provided in format required and audited by external auditor. | RS 1.3 RS 3.7 CS3 |
| SG6 | Comply with and submit information to the SHR in accordance with guidance on preparation of financial statements | Annual financial statement provided in format required and audited by external auditor. | RS 1.3 RS 3.7 CS3 |
| OC1 | Make publicly available, including online, up-to-date details of: <ul style="list-style-type: none"> Who is on its governing body (GB) The date when they first became a member or office-holder How to become a member of the RSL and of the GB Minutes of GB meetings | All information on PHA website: <ul style="list-style-type: none"> - https://www.pineview.org.uk/management-committee/ - https://www.pineview.org.uk/management-committee/ - https://www.pineview.org.uk/committee-membership/ - https://www.pineview.org.uk/minutes-of-meetings/ | RS 1.3 RS 2.1 RS 6.4 CS 27 |
| OC2 | Keep up-to-date organisational details in the Register of Social Landlords by maintaining information via the Landlord Portal | Information updated on SHR Portal: <ul style="list-style-type: none"> - Stock updated at year end as SHR requests. | RS 1.3 RS 2.5 |

2024 Compliance Assessment Summary Linking requirements to Regulatory Standards.docx

| Ref | Requirements | Compliance | Relevant Regulatory Standards (RS) |
|-----|---|---|------------------------------------|
| | | - Other details (e.g. committee members details) updated as change happens. | |
| OC3 | The constitution of the RSL must comply with all legislative requirements under the 2010 Act and the SHR Constitutional Standards | PHA uses approved SFHA Model Rules. SGM Sept 2021 members approved 2020 model. TC Young advised Committee and reported to members at SGM. | RS 1.3 |
| GF1 | Comply with the Regulatory Standards of Governance and Financial Management | Self-assessment database. Last reviewed by committee and staff at review day 31/03/2023, facilitated by Linda Ewart. | RS 1.3 RS 2.5 |