

## Section 11: Regulatory Framework Compliance (Aug 2024)

As a Scottish Registered Social Landlord (RSL), Pineview Housing Association is required to comply with the Regulatory Requirements as set out in Section 3 of the Scottish Housing Regulator's (SHR) Regulatory Framework - [Regulatory Framework](#) - [Section 3](#).

Over the years the Association has adopted a progressive multi aspect approach to ensure ongoing compliance. The current approved approach is that a comprehensive compliance review process is undertaken every 3 to 4 years, with ongoing interim annual lighter touch reviews.

The most recent comprehensive compliance review was undertaken at the 31/03/2023 committee and staff review day – the outcomes from this were published as compliance summaries on our website. This review was supplemented with a lighter touch review during 2024 and will continue to be supplemented annually with interim lighter touch reviews until 2026 or 2027. In line with our commitment to openness and transparency the compliance evidence bank from the most current review will be posted on our website for customers to access and consider should they wish to do so.

From the 2024 review the Association's committee of management considered all matters and concluded that the Association is 'Compliant' as required. In considering this matter and concluding their view, the committee of management consider regulatory documents; good practice guidance; internal reporting; review by the committee and staff; the work of our internal and external auditors; and feedback from our Customer Forum.

An annual assurance statement requires to be submitted to the SHR each year by 31 October. Committee continue their review of compliance on an ongoing basis throughout the year and are aware that formal notification to the SHR on non-compliance is required. In addition to considering compliance on an ongoing basis, the Association review compliance formally each year (as referred to above), tying this in with the formalisation of the AAS. A copy of our Annual Assurance Statement is posted on our website each year once it has been submitted to the SHR.

<https://www.pineview.org.uk/shr-annual-assurance-statement/>

---

### Additional Background Information on PHA Compliance Assessments:

Following the Scottish Housing Regulator's (SHR) February 2019 review of the Regulatory Framework and the Regulatory Standards of Governance and Financial Management, the Committee decided that the Association would undertake a formal comprehensive review of the Association's compliance at the 2019 business planning strategy day. This was facilitated by Linda Ewart and the resulting self-assessment outcomes formed the basis of the Association's 2019 assurance statement.

Joint committee and staff group work took place reviewing the Association's compliance with the Regulatory Framework. Group effort was spent reviewing self-assessment of compliance with The Standards of Governance and Financial Management for RSLs as it was agreed that compliance with these would support the Association in demonstrating compliance with the other elements of the Regulatory Framework – as supported by the later published Self-Assurance Toolkit. The 2019 review considered each element and determined if the standard was currently met; what was the evidence to support the compliance assessment; what additional actions were required for compliance; and if there were any further suggestions for improvements (but that were not necessary for compliance). The work undertaken highlighted confidence with compliance. There were no areas of non-compliance identified, other than full compliance with equalities requirements, but this was not required until 2021 (and has now been achieved). A few areas were identified for possible improvements but were agreed as not being required for compliance – more of a wish list.

The process was of vital importance for Committee then considering and completing their Annual Assurance Statement (AAS). This work formed a large part of the evidence bank for the committee's AAS which required to be submitted to the SHR by 31/10/19. The first Annual Assurance Statement was submitted to the SHR on 30/10/19 and has thereafter been submitted annually as required.

Standard 7 was not fully included in the 2019 assessment as the Association was not currently undertaking organisational or constitutional change. However, the Association included an assessment of Standard 7 during the 2020 compliance review due to the planned revision of our Rules (constitution) and the potential transfer of engagements from Kendon Housing Association.

Due to Covid19 restrictions the annual staff and committee strategy day was cancelled in 2020. However, committee were keen not to postpone the 2020 compliance review. As such, staff worked through the existing compliance files and evidence bank and drafted suggested changes for Committee to consider. This was reviewed at the June 2020 Committee of Management meeting, The review of compliance with the Standards was approved for updating the audit of compliance record (evidence bank) and for preparing the 2020 Annual Assurance Statement. The same approach was taken in 2021 and 2022.

As part of the 2022 process Committee considered the July 2022 SHR advisory guidance publication on conducting reviews of regulatory compliance. From this Committee made the decision that, as per the advisory guidance, a comprehensive compliance review process be undertaken every 3 to 4 years, with ongoing interim annual lighter touch reviews. The next comprehensive review was undertaken at the 31/03/2023 committee and staff review day – the outcomes from this were published as compliance summaries on our website, and are update after each annual review – [standards compliance summaries](#).